An Analysis of the Long Range Planning Processes Being Used in Selected Institutions of Higher Education

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Loyola University Chicago

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AN ANALYSIS OF THE LONG RANGE PLANNING PROCESSES
BEING USED IN SELECTED INSTITUTIONS
OF HIGHER EDUCATION

by

E. Arthur Stunard

A Dissertation Submitted to the Faculty of the Graduate School
of Loyola University of Chicago in Partial Fulfillment
of the Requirements for the Degree of
Doctor of Education

May 1980
E. Arthur Stunard
Loyola University of Chicago

AN ANALYSIS OF THE LONG RANGE PLANNING PROCESSES
BEING USED IN SELECTED INSTITUTIONS
OF HIGHER EDUCATION

The purpose of this study was to examine the long range planning practices at three selected institutions of higher education within the North Central Association of Colleges and Schools region which had completed a long range plan (LRP) during the period 1970-1978. This study also included a definition of long range planning and a glossary of terms being used in educational planning.

The president of each participating college granted permission to examine written documents such as memoranda, school publications, and minutes of the LRP committee meetings and to conduct indepth interviews with appropriate administrative personnel, committee chairpersons, trustees, and faculty. A field-tested interview instrument was used to focus the collection of data during these interviews.

Four basic questions provided the focal point for the data collection and subsequent analysis.

1. What processes and new technologies were used during the development and adoption of the long range plan?

2. What were the relationships of the actual processes and technologies used as compared to the literature?

3. What were the implications for curriculum development, staff development, and fund raising?
4. What were the administrative implications relative to the process and use of the new technologies?
No attempt was made in this research to evaluate the importance or significance of changes that may or may not have occurred. However, the majority of people interviewed for the study indicated that long range planning did have a positive effect on their institutions and was worth the time and effort devoted to the project. This study indicated that administrators needed to know more about LRP if they were to effectively guide the complex process, as their lack of training and experience in this area frequently limited the outcome of a substantial investment of institutional resources.

The case study approach used in this research helped to further identify the complexity of LRP and the many considerations that must be taken into account. Each chief administrative officer indicated that the long range planning project proved far more complex than originally anticipated. This study also indicated that LRP has a significant influence on the board of trustees and the internal and external constituencies of the institution.

Therefore, due to its complexity and importance, any efforts to develop a comprehensive long range plan should be based on the already extensive knowledge and expertise described in the literature.
ACKNOWLEDGEMENTS

When first beginning a project such as this, it was difficult to imagine the hours that would be consumed, or the people that would be involved. It became extremely important during the last stages of this work to reflect on the fact that this has not been a solitary effort. Many people made these pages possible and it is perhaps unfortunate that the writer receives the major recognition.

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would provide the basis for completing the research in the best possible manner. He proved to be correct. I commend my entire committee for their assistance throughout this important period of my professional life.

It was because of the generous hospitality of each participating institution and the many individuals who were willing to share their expertise with me, that this research was completed. Each contribution was valuable to the final outcome, and deserves special recognition.

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Marjorie Homan was the person I wanted to type my final draft. She always made useful suggestions and took personal pride in the appearance and accuracy of the dissertation. Without the skill and ability of Marge, much more of my energy would have been devoted to an area where my talents are clearly limited.

Most people would consider themselves fortunate to have just one special person to help them past those crucial times. I was fortunate to have two people that cared! Thank you, Jason and S.J.
VITA

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Arthur has been active on numerous committees and professional organizations such as Chairman of the Faculty Association, President of the NCE Chapter of Phi Delta Kappa, President of the Northern Illinois Media Association, Treasurer of the Illinois Association of Educational Communications and Technology, and Chairman of the Educational Films Category of the Chicago International Film Festival.
# TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>ACKNOWLEDGEMENTS</td>
<td>ii</td>
</tr>
<tr>
<td>VITA</td>
<td>iv</td>
</tr>
<tr>
<td>Chapter</td>
<td></td>
</tr>
<tr>
<td><strong>I. BACKGROUND OF THE STUDY</strong></td>
<td>1</td>
</tr>
<tr>
<td>Introduction</td>
<td>1</td>
</tr>
<tr>
<td>Statement of the Problem</td>
<td>1</td>
</tr>
<tr>
<td>Purpose of Study</td>
<td>2</td>
</tr>
<tr>
<td>Limitations of the Study</td>
<td>6</td>
</tr>
<tr>
<td>Questions to be Answered</td>
<td>7</td>
</tr>
<tr>
<td>Research Design, Methods, and Procedures</td>
<td>8</td>
</tr>
<tr>
<td>Definition</td>
<td>12</td>
</tr>
<tr>
<td>Glossary of Terms</td>
<td>12</td>
</tr>
<tr>
<td><strong>II. REVIEW OF RELATED LITERATURE</strong></td>
<td>14</td>
</tr>
<tr>
<td>Rationale for Chapter Design</td>
<td>14</td>
</tr>
<tr>
<td>Historical Perspective of Long Range Planning</td>
<td>15</td>
</tr>
<tr>
<td>Some Basic Terms</td>
<td>21</td>
</tr>
<tr>
<td>Models Used in Long Range Planning</td>
<td>27</td>
</tr>
<tr>
<td>Specific Technologies of Long Range Planning</td>
<td>37</td>
</tr>
<tr>
<td>Political Dynamics of the Long Range Planning</td>
<td>55</td>
</tr>
<tr>
<td>Implications of Long Range Planning for the Future of Education</td>
<td>65</td>
</tr>
<tr>
<td>Conclusion</td>
<td>72</td>
</tr>
<tr>
<td><strong>III. REPORT OF DATA</strong></td>
<td>73</td>
</tr>
<tr>
<td>Introduction</td>
<td>73</td>
</tr>
<tr>
<td>Terry Institute--Case Study I</td>
<td>74</td>
</tr>
<tr>
<td>Institutional Profile</td>
<td>74</td>
</tr>
<tr>
<td>The Planning Climate</td>
<td>80</td>
</tr>
<tr>
<td>The Planning Process</td>
<td>83</td>
</tr>
<tr>
<td>Roscoe Community College--Case Study II</td>
<td>109</td>
</tr>
<tr>
<td>Chapter</td>
<td>Page</td>
</tr>
<tr>
<td>---------</td>
<td>------</td>
</tr>
<tr>
<td>Institutional Profile</td>
<td>109</td>
</tr>
<tr>
<td>The Planning Climate</td>
<td>121</td>
</tr>
<tr>
<td>The Planning Process</td>
<td>126</td>
</tr>
<tr>
<td>Paul University--Case Study III</td>
<td>148</td>
</tr>
<tr>
<td>Institutional Profile</td>
<td>148</td>
</tr>
<tr>
<td>The Planning Climate</td>
<td>158</td>
</tr>
<tr>
<td>The Planning Process</td>
<td>161</td>
</tr>
</tbody>
</table>

**IV. ANALYSIS OF THE DATA**

| Introduction | 187 |
| Question I | 190 |
| Question II | 199 |
| Question III | 206 |
| Question IV | 212 |
| Summary | 222 |

**V. CONCLUSIONS AND RECOMMENDATIONS**

| Summary of Procedure | 224 |
| Conclusions | 228 |
| Recommendations | 241 |

**BIBLIOGRAPHY**

| 247 |

**APPENDICES**

| A. INTRODUCTORY LETTER AND INITIAL QUESTIONNAIRE | 264 |
| B. QUESTIONNAIRE RESPONSE | 268 |
| Questionnaire Responses Reported by State | 269 |
| Questionnaire Responses Reported by Institutional Control, Emphasis, Size, and Type | 270 |
| C. LETTER REQUESTING COPY OF LONG RANGE PLAN | 271 |
| D. LETTER REQUESTING PERMISSION TO STUDY THE INSTITUTION | 273 |
| E. INTERVIEW SCHEDULE | 276 |
| F. LETTER ARRANGING SITE VISITATION | 284 |
| G. GLOSSARY OF TERMS, MODELS, AND TECHNOLOGIES USED IN LONG RANGE PLANNING | 287 |
CHAPTER I

BACKGROUND OF THE STUDY

Introduction

Educators demonstrated interest in future planning during the mid-fifties and the sixties, as reflected by the number of studies conducted and by the types of plans being reported during those years. However, shortly after that period many educators became disenchanted with the process, and turned to a more crisis-oriented style of management, probably because of the rapid changes that had been occurring, such as the decrease in student populations and the amount of resources being made available for schools. More recently the literature has indicated a renewed interest in systematic long range planning (LRP), and has clearly indicated that this field of expertise was very likely to continue to grow and influence the future of education.

Statement of the Problem

This study examines the long range planning practices being utilized in three institutions of higher education and analyzes specific processes as they related to the administration of the designated institutions. An in-depth analysis of the collected data contributes to the accumulated knowledge
already in existence and helps further to identify the implications of long range planning for administrative actions necessary to improve the overall processes of future planning in higher education.

Purpose of Study

Examination of the current literature indicated a growing interest in the process of planning in education, and clearly established the value and importance of this planning for the future growth and development of college programs. However, there seemed to be a significant gap between the theory of planning and the actual practice. Many factors often seemed to intercede, somewhat diverting the intended efforts of administrators. The mechanical process of planning could be easily identified and several schemes have been proposed which clearly stated the appropriate steps to be followed in developing any plan. However, as Carl Lippold stated, "Models that adequately account for the human or political aspects of institutional planning simply do not exist." As a result, he proposed a planning paradigm based upon a logic-fact-value matrix, in the hope it would be used "as a guide for institutional planners and as a point of departure for further research."¹

The human value and political aspects of planning should be further developed, and have become a part of this study.

Educational planning is oriented toward change and deals with the future. This process has been described as "... eliminating the disparity between what is and what is desired." Planned change must be an orderly approach to identifying what is desired from the future and then to use the best knowledge, tools, and people available to attain this desired future. Grimes identified three levels of planning for this change orientation: (1) near future (short-range planning of up to two or three years); (2) transitional future (middle range plans and actions considered to be the bridge between the near and preferred future); (3) preferred future (that which is normatively determined by a qualified population to be desirable and toward which goals and activities are directed, generally translating to five to ten years).²

Sokolow reported that "educational planning, above all, is in a period of transition which may be characterized as moving from first generation to second generation planning. In first generation planning, the emphasis was on process and inputs. It was concerned primarily with growth; that is, with providing funds, facilities, and services for a rapidly expanding school population. The

emphasis in second generation planning has shifted to goals and outputs. It is future oriented. It focuses on forecasts, inventing desirable future states, and examining various alternatives of achieving those desirable states."³

The major goal of planning is the achievement of specific and clearly defined objectives, which includes anticipating whatever action is to follow. Dr. H. Lawrence Wilse, partner-in-charge of educational administration division of Booz, Allen and Hamilton Management Consultants, identified a basic framework for long range planning and suggested three areas top policy and management leaders should explore.

1. What decisions have to be made?
2. In what order should they be made?
3. What information is necessary to make them?

The systematic analysis of these questions requires decisions that relate to the overall direction of the educational institution. Dr. Wilse believes that for total institutional future planning the process must include a thorough examination of at least seven distinct elements.

1. Philosophy: the educational needs of society.
2. Objectives: the role of the particular institution.
3. Programs: instructional and research programs, and service activities.

4. **Organization**: administrative, academic, and service functions, positions, and their relationships.

5. **Staffing**: numbers, kinds, and qualifications of people.

6. **Facilities**: numbers, kinds, and location of facilities.

7. **Financing**: determination of the operating and capital funds required and plans for attainment.

In addition, Grimes concluded that future acceptance of educational planning will depend heavily on the resolution of process problems relating to the constraints imposed by the political/technical environment of each institution. He identified some future-oriented technologies that proffered solutions to the process problems of educational planning as: **Control/Consensus**: Fault Free Analysis, Delphi technique, brainstorming, Stephens' paradigm, and formative evaluation. **Continuity/Change**: needs assessment, scenarios, computer-based technologies treating probability, projection/extrapolation, futurology, charrette, general staff, Kriegspiel, simulation, alternative futures, and ARIOLE. **Comprehensive/Criticality**: projection/extrapolation, simulation, Stephens' paradigm, summative and formative evaluation. ⁴

Education has borrowed heavily from business and industry, thereby implying some commonality between industrial planning techniques and techniques appropriate to educational planning. Educators often suggested that these

techniques are inadequate for education in their present form and that they must be adapted and redesigned before they can be appropriately used by educational institutions.

This study examined, in depth, the specific actions of three institutions of higher education and related these actions to the planning literature in an effort to establish the planning methods currently being used and the degree of success these methods have enjoyed.

Limitations of the Study

The field work for the study, conducted over a period of nine months, was limited to the North Central Association of Colleges and Schools area, which encompasses nineteen states.

Institutions of higher education with student populations of three thousand students or less were identified as the overall field from which three representative colleges were selected. The institutions were identified through the Education Directory of Colleges and Universities, 1976-77.5 This sample was selected to provide a broad yet manageable base of information. No attempt was made to eliminate any colleges or universities other than on the basis of student enrollment.

The study was also limited to those institutions which had completed a long range plan at some time during the period

1970 through 1978 and whose plan conformed to the definition identified later in this chapter. A further limitation grew out of the need to obtain permission for access to relevant written documents (memos, committee notes, directives, etc.) and to appropriate administrators and faculty members. Although precautions were taken to minimize bias, this type of study makes avoidance of some personal interpretation extremely difficult, if not impossible.

The literature search was conducted through several large academic libraries in the Chicago metropolitan area and was limited by the availability of materials either locally or through interlibrary loans, university microfilms, and ERIC files. Numerous computer database searches revealed a large body of relevant materials, and selective reading produced the review reported in Chapter II.

Questions to be Answered

Since long range planning has developed into a very important and broad area of expertise, it was necessary to provide a narrow focus for examination. Accordingly, four basic questions provided the needed focal point for the data collection and later analysis.

1. What processes and new technologies were used during the development and adoption of the long range plan?

2. What were the relationships of the actual processes and technologies used as compared to the literature?
3. What were the implications for curriculum development, staff development, and fund raising?

4. What were the administrative implications relative to the process and use of the new technologies?

Research Design, Methods, and Procedures

In order to identify three representative institutions of higher education, all colleges and universities in the nineteen-state area with student enrollments of no more than three thousand were surveyed to determine which of those institutions had in fact completed a long range plan consistent with the specified definition. Further, each college or university was asked to supply specific data concerning such factors as size, control, emphasis, and type. (The introductory letter and initial questionnaire are presented in Appendix A)

A total of 559 questionnaires was sent to the presidents of the target schools, resulting in 348 responses by the president or the appropriate representatives as designated by the presidents.

Of the 348 responses, 89 indicated that no long range plan had been created since 1970, 218 indicated completion of a long range plan, and 41 were either in the process or simply did not agree with the definition as stated and were unwilling to submit a positive or negative response. (See Appendix B for a complete breakdown of the responses by state, institutional control, emphasis, size, and type)
In order to further narrow the field, a second letter was mailed to forty institutions which had indicated adoption of a long range plan since 1970. These institutions were selected on the basis of being most representative of the total population. This second group generally had a student population of approximately one to two thousand; had private, public, or parochial affiliations; were selected from community colleges with program emphasis in the technical/vocational area, four-year liberal arts, and four-year professionally based programs. In addition every effort was made to poll institutions that were representative of the total geographical make-up of the North Central Association of Colleges and Schools area.

This inquiry requested that each institution send a copy of its current long range plan for further analysis. (A copy of the letter is included in Appendix C) A total of twenty-three schools sent documents, which then formed the basis for final selection of the three colleges for the case study. Each document received was examined to determine whether the institution had a long range plan which met the established criteria for this study. In addition, the documents were reviewed to compare and contrast such items as size and scope of the document, procedures used, and length of the projected future. Although this review was not intended to be the major contribution of this study, the characteristics examined provided insights into the processes being used and ultimately provided content for the case studies.
The three institutions selected were representative of the total field being examined. In order to qualify for selection, each institution must have submitted a long range plan that met the definition criteria established in this study, and must have indicated a willingness to fully participate in this research. The selection was based upon geographical location, size of the institution, affiliation or control (private, public, or church related), type of program, and level of the instructional program. The three institutions finally identified consisted of one four-year, church related, liberal arts college; one four-year, private, professional engineering college; and one two-year public community college with program emphasis in vocational and technical training. Also, the three colleges represented the eastern, central, and western geographical areas of the North Central Association. All three institutions had student populations of approximately one to two thousand students.

Following this selection, permission was granted by each respective president to conduct in-depth case studies on the campus of their college. (See Appendix D for copy of permission letter.) Permission was also granted by each respective president to examine appropriate written documents (memos, committee notes, directives, etc.) and to conduct in-depth interviews with appropriate administrative personnel, committee chairmen, trustees, and faculty members who were involved in the long range planning process.
A formalized interview instrument was developed for the interview to help focus the data; however, free and interactive dialog was encouraged. The interview inventory was validated at a local college similar in most respects to the institutions surveyed in the study. Necessary modifications were made and the final inventory instrument (Appendix E) was duplicated for easy data collection and analysis.

Each campus was visited for a period of five days to gather the necessary documentation of the total LRP process, to interview key individuals, and to further identify the processes, the political dimensions of the processes, and where applicable, the new technologies utilized in the final development and adoption of the long range plan. The in-depth interviews (see Appendix F for letter arranging visitation) were particularly useful in obtaining data that revealed specific implications of long range planning for curriculum, staff development, and fund-raising.

Upon completion of the data gathering, a thorough analysis was conducted to ascertain the various processes being utilized by each institution to finally arrive at a long range plan. This analysis included a description of the similarities and differences among the three institutions and compared the findings to the literature.

A further analysis was conducted to ascertain the implications of LRP for institutional interests relating to curriculum development, staff development, and fund raising.
Finally, the data were examined in terms of the administrative implications for future planning in education as they related to the following:

1. Procedures utilized in LRP.
2. Political problems and/or issues.
3. New technologies employed.

**Definition**

For purposes of this study, an institution has engaged in long range planning when it has generated a written document which results in an overall institutional master plan. This plan:

1. Covers a future period of three to ten years.
2. Identifies a clearly defined committee structure and/or procedure that allows for representation from all levels of the hierarchy and various departments within the institution.
3. Illustrates a clearly defined process through which the total planning has evolved and has dealt with such institutional areas as (a) philosophy, (b) objectives, (c) programs, (d) organizational structure, (e) staffing, (f) facilities, and (g) financing.
4. Proposes specific recommendations to be implemented in the future based upon the data generated by the overall planning process.

**Glossary of Terms**

The list found in Appendix G briefly summarizes terms
in general use among long range educational planners as well as specific models and technologies discussed or mentioned in Chapter II. The definitions are usually paraphrased from one or more authoritative sources. Non-technical language is used whenever possible, although, for the sake of accuracy, an attempt has been made to keep close to the language of the original source. For a full understanding of terms and techniques, it is best to consult the sources as indicated in the footnotes.
CHAPTER II

REVIEW OF RELATED LITERATURE

Rationale for Chapter Design

The literature of long range planning covers a number of diverse and sometimes indirectly related fields. Planning as a management tool (or science) commands a vast and varied field of inquiry. Specific applications to education, especially in recent years, have resulted in the development of a minor research industry. Despite an apparent relaxation of interest in the mid-sixties, studies of long range planning in education continue to pour off the presses.

Any structuring of this wealth of material is bound to be somewhat arbitrary. This dissertation moves from a review of the backgrounds and theoretical frameworks of long range planning toward a consideration of the specific applications and implications of current planning practices. The chapter was organized in five sections: (1) a general historical perspective on educational planning, especially as it has developed since World War II; (2) a description of some models and modeling concepts, from business and industry as well as from education, that have been designed to aid planners in systematizing and conceptualizing basic approaches to long range planning; (3) a representative listing of major
technologies developed by researchers to attack particular planning problems; (4) a detailed presentation of studies dealing with the political dynamics of the planning process; (5) an overview of the implications long-range planning holds for the future of education, with emphasis on the areas of curriculum, staff development, and financing. Such a review provides a useful basis for the examination of planning methods presently being used by institutions of higher education, the efficacy of those methods in light of political and human factors, and the place of long-range planning in the years ahead.

**Historical Perspective of Long Range Planning**

A comprehensive introduction to the history of long range planning was provided by Banghart and Trull, who traced educational planning as far back as early village cultures in Africa and Europe.\(^1\) It was the authors' contention that educational planning had its beginning in the historical development of the city: the initial impulse of men to gather together for self-protection, security, and worship was gradually channeled toward the empire-building of the Greeks and Romans, the land-based feudalism of the Middle Ages, the piecemeal modifications of the Renaissance, up through the chaotic sprawl of the industrial age and the

\(^1\)Frank Banghart and Albert Trull, Jr., *Educational Planning* (New York: Macmillan, 1973), pp. 16-82.
more ordered modern concept of the Garden City. It was clear that large-scale and long-term planning was not strictly a twentieth-century phenomenon.

It was equally clear, however, that planning as a discipline with its own battery of specialists and researchers has achieved prominence only since World War II. This was especially true of educational planning since "neither 'planning' nor 'education' has ever existed as it does today." Grimes used the work of Phillip H. Coombs to trace the emergence of educational planning after World War II. That emergence, said Coombs, occurred in four phases: (1) reconstruction (disrupted educational systems in industrialized nations rebuilt in accordance with a "new humanism" that stressed equal opportunities for all); (2) manpower (as Western societies progressed, a need for trained workmen and education professionals became acute, and education sought to meet the demand); (3) rampant expansion (continuing needs of the economy and popular demand for education led to vast expansion of educational facilities); (4) innovation (campus explosions of the late sixties resulted from maladjustments between educational systems and the economy, students, and society. In this new phase, planners will seek major innovations and transformations to bring education into reasonable adjustment with the environment).

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2Ibid., p. 16.

Since the early 1960's, the literature of educational planning has been dominated by systems approaches as developed by government and business leaders, particularly those involved in the defense and aerospace industries. In such highly complex and future-oriented organizations, where costs and cost projections frequently run into the billions, the need for rational, systematic planning was apparent. In response to a similar need in the massive and often troubled educational system, several researchers have been instrumental in attempting to apply the systems approach to education, among them, Kaufman, Hostrop, McGrath, Hencley and Yates, Morphet, Johns, and Reller.4 A wide variety of planning models has been developed and several institutions of higher learning have already begun adapting these models and techniques for their own use.

The development of systems approaches to education, however, has not occurred in a static environment. Maureen Webster reviewed the evolution of educational planning from the 1960's through the early 1970's in programs of members of the OECD (Organization for Economic Cooperation and Development). Webster described certain changes in planning

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concerns that occurred throughout the sixties: (1) from economic growth to quality of life, (2) from planning as value-free and segregated from policy making to planning as value-"full" and part of policy making, (3) from centralized planning groups to participatory planning, and (4) from short-term to long-term. Webster specifically pointed to two significant shifts in focus, from "planning viewed as . . . separate from policy-making to planning as . . . an integral part of the overall decision-making process," and from "planning viewed as an expert, exclusive, and generally centralized function to planning as an activity to be dispersed geographically and engaged in by a large number of participants." 5

Sokolow described a similar shift in focus:

Educational planning, above all, is in a period of transition which may be characterized as moving from first generation to second generation planning. In first generation planning, the emphasis was on process and inputs. It was concerned primarily with growth; that is, with providing funds, facilities, and services for a rapidly expanding school population. The emphasis in second generation planning has shifted to goals and outputs. It is future oriented. It focuses on forecasts, investing desirable future states, and examining various alternatives of achieving those desirable states. 6

The seventies have seen a degree of disenchantment with systems approaches to educational planning. Some models


applied to educational institutions, have not achieved the desired results. In 1976 Robert Newton went so far as to declare that the once highly touted PPBS (Planning-Programming-Budgeting Systems) died in 1971 when the federal government quietly withdrew its support for PPBS in education. Among the "symptoms of failure" Newton listed:

1. Preoccupation with technique rather than purpose.
2. Perfunctory attention given to explicitly defined steps of developing long range planning.
3. Difficulty in deriving meaningful objectives and establishing useful criteria for choosing alternatives.
4. The application of PPBS was often kept separate from ongoing management procedures.

Objections have also come from observers who question the overall validity of systems analysis as applied to the field of education. Windham reviewed a number of studies on macro-planning efforts in education and asserted that "the most dramatic development in the economics of education has been the increasingly critical reevaluation of the traditional premises of educational planning." Critiques range from


consideration of the limitations of systems concepts themselves, to the difficulty of applying scientific and technological concepts to educational problems, to simple resistance on the part of humanists and others who cite the dehumanizing and manipulative effects of systems approaches.\textsuperscript{10} Desmond Cook found that the "most serious problem" lies in this humanistic resistance:

> It is not unusual for an audience to be receptive to suggestions on project management until some of the concept's origins are made known. When it is pointed out that many of the concepts and principles were originally derived from the infamous military-industrial complex, many educators become negative toward the ideas.\textsuperscript{11}

Proponents of systems approaches to planning have sought to answer the critics in a variety of ways and frequently


develop excellent program plans that can be applied throughout education. 12

Some Basic Terms

The literature indicated that future planners have developed a unique language often not clearly understood by others. The interpretation of the following terms were generally agreed upon by experts currently involved in planning.

Planning. Montello and Wimberly defined planning simply as what occurs when "managers in any enterprise ... decide what is going to be done." 13 Although such straightforward definitions abound in the literature of planning, some writers have sought to arrive at more substantive definitions. Kaufman suggested a taxonomy of planning by listing six steps necessary in all problem-solving processes (any one of which could be used as a starting point if the previous steps have already been accomplished):

1. Alpha planning: identify problem based on needs.

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2. Beta planning: determine solution requirements and solution alternatives.


4. Delta planning: implement.


6. Zeta planning: revise as required.  

Perhaps the most comprehensive definition of planning was given by Kratz. After surveying numerous definitions offered by experts, Kratz combined them into one, all-embracing definition:

. . . educational planning is an attempt to foresee a desired and improved future for education, or some phase of it, through a continuous, rational, and systematic process of advanced decision-making and commitment of resources. Alternatives are arranged and selected in setting goals and policy in order that the future that is desired comes about.  

System. The terms used to describe systems vary insignificantly among researchers. A system can be defined as "a conceptual structure composed of interrelated functions operating to attain a desired output effectively and efficiently"; as "an organized assemblage of interrelated components designed to function as a whole to achieve a predetermined objective"; or as "a multiplicity of parts, elements, or

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14 Kaufman, Educational Systems Planning, p. 143.

components, which interact with one another and work together for some common purpose."\(^{16}\)

**Systems Approach.** Systems approaches are somewhat more difficult to define. Although general systems theory has been in existence for many years, writers have not yet reached overall agreement on any single, comprehensive definition. Hostrop indicated that it was, in essence, "a rational procedure for designing a system for attaining specific objectives."\(^ {17}\) Hoetker et al., while noting that "the term systems approach had so many referents that it was practically impossible to define it except by pointing," nonetheless made an effort: "A 'systems approach' to understanding any phenomenon proceeds by creating 'models' of the system under examination for the purpose of describing essential relationships or of predicting the consequences of particular changes within the system."\(^ {18}\) The emphasis on modeling included here was characteristic of some definitions. Kaufman stressed the various steps in the systems approach:

A process by which needs are identified, problems selected, requirements for problem solution are identified,

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\(^{17}\) Hostrop, *Managing Education*, p. 245.

solutions are chosen from alternatives, methods and means are obtained and implemented, results are evaluated, and required revisions to all or part of the system are made so that needs are eliminated.¹⁹

The six steps outlined by Kaufman are often expressed by others in slightly different terms and in slightly different numbers. Kratz listed nine steps, Banghart and Trull listed seven, and Bushnell returned to six (though a different six than Kaufman's).²⁰ All writers, however, agreed that a systems approach to planning involved the formulation of objectives, the evaluation and selection of alternative courses of action, implementation, and a process of continual feedback and adaptation.

Certain common characteristics emerge from all attempts to describe systems approaches. The system, whether an organization, an institution, or a department, is conceived of as an integrated whole which is designed to accomplish certain objectives. A systems approach seeks to optimize the systems functions in order to achieve the objectives and insure the compatibility of the various components.²¹

Some writers distinguish between "systems approach" and "systems analysis" or "systems design." McManama, for instance, referred to systems analysis as "a determination

¹⁹Kaufman, Educational Systems Planning, p. 2.


²¹Banghart and Trull, Educational Planning, pp. 106-07.
of what needs to be done in order to attain a stated goal effectively" and described systems design as "a conceptual representation which makes clear how the goal is to be attained utilizing the most efficient alternative."\(^{22}\)

**Model.** Systems approaches typically make some use of models or the modeling process. Lee stated that a model was essentially "a representation of reality, . . . a simplified and generalized statement of what seem to be the most important characteristics of a real-world situation." He further divided models into two basic types: abstract ("one in which a real world situation is represented by symbols rather than by physical devices") and physical, with abstract models cited as by far the most useful for planning purposes.\(^{23}\) McGivney and Hedges began with a definition similar to Lee's and then expanded on it:

A representation of a set of relationships thought to define a situation(s) under study. The "rigor" of models vary from those describing certitude of relationships (usually mathematical) to those only verbally describing said relationships. It is generally thought that models permit one to manipulate one or more of its elements to determine or estimate their effects on each other in different situations.\(^{24}\)

Hector Correa retained the sense of models as "explaining"

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\(^{22}\) McManama, *Systems Analysis*, p. 23.


phenomena in the real world and, like McGivney and Hedges, referred to the interrelationships among the elements in the model, but Correa's definition worked toward greater precision:

... I have defined a model as (1) a set of variables classified as endogenous and exogenous; (2) the cause-effect relationships among these variables; and (3) the consistency of these relationships. By "consistency" I mean that, whenever the values of the exogenous variables are specified, the values of the endogenous variables can be determined in one and only one way.25

Though Correa's emphasis was on mathematical models, his basic concept was clear: a model is a representation of reality which demonstrates the cause-and-effect relationships of its component parts and which consistently produces predictable results once the values of external factors have been ascertained.

Technology. The usual definition of technology--the application of science to the needs of business and industry --was reflected in definitions given by several researchers. Grimes described technology as "the science that combines human and machine resources and applies them to solution of technical problems" and further remarked that it was closely associated with the use of computer science in education; Hostrop's definition was more general: "the science of the systematic application of knowledge to practical purposes."26


26 Grimes, Prototype Planning Model, p. 15; Hostrop, Managing Education, p. 245.
Researchers have also used the term in a narrower sense, as a tool or technique that can be applied to specific situations in order to accomplish specified goals and objectives in educational planning. The use of the term here will reflect the latter sense.

Models Used in Long Range Planning

Business and Industry

Immegart and Pilecki presented a useful summary of specific models developed for business and industry and of potential use to educational administrators. Among them:

The "Black Box" Model. Ashby's input-output model focused on systems outcomes and graphically illustrated the role of feedback in evaluation and monitoring.

Output Analysis. Based on work in business and industrial problem solving, this design approached management problems by applying systems analysis to the control functions in organizational decision-making.

Mathematical Models. Linear, integer, stochastic, and dynamic programming techniques can be used to solve

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problems that can be expressed quantitatively, e.g., personnel deployment, resource allocation.

Political Decision Model. This model was developed by Easton\textsuperscript{30} to explain group decision-making in organizational settings as well as in "the larger societal arena for which it was intended."\textsuperscript{31}

Communications Model. Developed by Churchman,\textsuperscript{32} the communications model accounts for "(1) organizational communication network(s), (2) knowledge of the goal-direction processes of organizational control, and (3) knowledge of the goal-changing processes."\textsuperscript{33}

William Steinert carefully studied the planning practices of business and industry and developed a "process model" which incorporated the essential features of successful corporate models and which, he claims, provided a practical basis from which to build educational models. Steinert identified three distinct "process stages" as the basic components of the model: (1) defining the mission, (2) integration of plans, and (3) management information for decision-making.\textsuperscript{34}


\textsuperscript{31}Immegart and Pilecki, \textit{Introduction to Systems}, p. 17.

\textsuperscript{32}C. W. Churchman et al., \textit{Introduction to Operations}

\textsuperscript{33}Immegart and Pilecki, \textit{Introduction to Systems}, p. 17.

Lee divided models generally used in organizations into three categories: descriptive ("solely concerned with representing an existing situation"), (2) predictive (simulating future rather than current situations), and (3) planning or normative (similar to predictive models except that, in addition to telling what is likely to happen, they tell the range of performance that is possible in relation to defined objectives). 35

The corporate planning models described by Casasco likewise fell into three categories. The "conceptual process model" presented main tasks and their corresponding sub-tasks in a normative sequence. The "'nesting' of plans model" indicated areas of managerial responsibility and presented a breakdown of plans and subplans. The third model was called the "mission 'crosscut' of functions" and provided a visual representation of the interrelations among the different areas of corporate function and the strategic plans of the organization."36

Specific models cited by futurists as useful in predicting trends and probabilities included the cross impact matrix, the Markov chain theory, contextual mapping, and morphological analysis. The cross impact matrix takes input that "consists of estimates concerning the likelihood of events, data on possible trends, and estimates of the impact

35Lee, Models in Planning, pp. 10-16.

that occurrence of each event will have on the probability of occurrence for the others" and produces an output of "an adjusted probability for each event, calculated on the basis of a formula which uses the trend data, conditional probability data, and the impact." \(^{37}\) The Markov chain theory originated in 1907 through the work of Russian mathematician A. A. Markov. It was a probabilistic theory since it dealt with random, rather than deterministic, phenomena; in it, the current movement of a variable was analyzed in order to determine the likely future movement of that same variable. \(^{38}\) Contextual mapping has been defined as "a graphic display of the logical and causal dependencies of functionally related phenomena." \(^{39}\) Morphological analysis focuses on the structural or morphological interrelations among objects, phenomena, and concepts without prejudging the feasibility or desirability of the analysis or the results of the analysis. \(^{40}\) As one researcher said, morphological research is

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\(^{39}\) Perry Rosove, An Analysis of Possible Future Roles of Educators as Derived from a Contextual Map (Santa Monica, Ca.: System Development Corporation, 1968), p. 6.

"a kind of checklist which in a systematic manner enumerates all combinations of technological possibilities." 41

Education

Models used in American education are sometimes borrowed from business and industry and sometimes developed specifically for use in educational planning. Zaltman, Florio, and Sikorski provided a convenient overview of models and types of models currently proposed for use in education. 42 The basic categories listed are:

**Environmental models**, in which change was seen to originate outside of the organization or individual, i.e., in the social conditions or environment. Examples of such models are Levin's Polity Model or Stiles and Robinson's Political Process Model.

**Organizational models**, in which the effects of the internal environment are seen as crucial to change. The Zaltman, Duncan, and Holbeck Model and the Survey-Feedback-Problem Solving-Collection Decision Model (SF-PS-CD) were cited as examples.

**Authoritative participative models**, depicting approaches to change in terms of the extent to which decisions are made

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by authority figures. Included were the "collective innovative decision" model developed by Rogers and Shoemaker, and Bennis's collaborative versus noncollaborative classification scheme, which identified eight different types of change involving collaboration or noncollaboration.

**Individual oriented models** focus on the individual decision maker or adopter. "These models range from the early rural sociology model of adoption of new farm practices (Rogers--1962) to the more recent Zaltman and Brooker (1971) and Rogers and Shoemaker (1971) models." Other models cited by Zaltman and associates were research, development, and diffusion models and the Lippet, Watson, and Westley Problem-Solving Model.

Correa surveyed the analytic or mathematical models employed in educational planning. Two kinds of models were used to explain why students learn: mechanistic and behavioral. Mechanistic models can be used to determine the probabilities of students moving from one rung of the educational ladder to another, to analyze processes conducive to learning, to determine the characteristics of classroom interaction, and to relate socioeconomic and psychological characteristics of students and teachers to levels of participation in the educational process and indices of school success. Behavior models, Correa stated, "are based on the assumption that the basis for the behavior of students,

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43 Ibid., p. 64. 44 Correa, *Analytic Models*, pp. 4-5.
teachers, and administrators is an attempt to achieve efficiently well defined objectives."45 Probabilities of particular forms of behavior were, in such models, determined by the relative frequency of positive and negative rewards. Correa also surveyed a number of models which approach education in essentially economic terms (as productive of certain goods and services). He then presented models that attempted to integrate economic and educational planning. Among the approaches used to accomplish the latter were: (1) the manpower approach, (2) the rate-of-return approach, and (3) explicit optimization models.46

Some writers have developed decision-making models applicable to educational organizations. One such model—that proposed by Billings—depended on a distinction between "object decisions" (whether an issue is decided upon or passed on to another is predetermined) and "meta-decisions" (responsibility for deciding is not predetermined). Once the distinction is established, meta-decisions can be made based on behavioral psychology according to various combinations of win, lose, or draw (win-win, win-lose, etc.) in interactions of various individuals along the organizational hierarchy.47

Numerous studies have been done of planning procedures actually being used in educational institutions. Robert

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45 Ibid., p. 5. 46 Ibid., p. 27.
Kratz's 1971 doctoral dissertation is notable for its comprehensive overview of new developments in educational planning and for its careful consideration of the extent to which those developments were utilized in selected Pennsylvania school districts. Kratz concluded that while school districts did employ systematic planning strategies and made extensive use of graphics, data gathering, and computer technology, their use of specific systems approaches and technologies was minimal. Model-building was not seen as an integral part in planning and decision-making. 48 A similar study of planning in Delaware school districts also indicated that systems approaches and systems models had "not significantly penetrated district-level planning." 49

Models specifically designed for higher education have gained in prominence in recent years. Gaunt and Haight attempted to provide an overview of models "representative of the spectrum in terms of diversity and comprehensiveness." As an example of a model focusing on a single phenomenon within a typical institution they cited the "induced course load matrix," which can determine "the course load induced on each department of an institution by an average student major of each type." 50 Such a model was most useful in

showing which departments were providing courses primarily for their own students and which departments were serving students with majors in other fields. The Costing and Data Management System (CADMS) developed by the National Center for Higher Education Management Systems was presented as a model used in determining the costs of selected standard degree programs. Two of the most widely used models, according to Gaunt and Haight, were CAMPUS (Comprehensive Analytical Methods for Planning in University/College Systems) and RRPM (Resource Requirements Prediction Model), both of which were "designed to calculate the staff, space, and financial requirements of an educational institution for support of its student needs over a multiyear planning horizon." Plourde also mentions RRPM and CAMPUS as models in current use in higher education, and to these adds SEARCH (System for Evaluating Alternative Resource Commitments in Higher Education) and HELP/PLANTRAN (Higher Education Long-Range Planning Translator). Other models given mention in the literature include Huckfeldt's prototype model for analyzing the impact of federal financing on higher education. Several other models were developed by the Midwest Research Institute to aid in areas such as facility planning, program cost analysis, and budgeting. The decision-making model developed by Cooper was to provide for optimal planning.

51 Ibid., p. 312.
of budget and faculty mix in an average-sized urban university. 53

Plourde's survey of model use in institutions of higher education indicated that:

- the development of models should be fostered because they are essential for planning and decision-making and are useful to better allocate scarce resources.
- models will likely be used because: (a) they are required by external agencies, (b) they promote the use of quantitative methods in decision-making, and (c) they provide objective data for analysis.
- preconditions for future use are as follows:
  (a) the development of adequate data bases,
  (b) the system must be tailored to the institution,
  (c) organizational commitment, and
  (d) education for users and implementers. 54

Gonyea's study of selected universities also revealed the repeated use of modeling and outlined the steps by which institutions of higher education develop planning models. 55

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Rarig's 1968 study of community and junior colleges yielded similar results. 56

Specific Technologies of Long Range Planning

System Analytic Techniques

The specific tools developed for long range planning vary as much as the institutions that use them. Some of the technologies focus on special areas of critical importance (e.g., budgeting, goal setting), while other techniques can be applied to parts of the system or to the entire system structure. The brief summaries that follow were meant to be representative of the technologies most frequently discussed in the literature. While not exhaustive, the listing accurately reflects the range of techniques currently used in long range planning.

Simulations.--

Simulation is a form of copying the behavior of a system (for instance, an educational plan) that proceeds in true time-sequence. It is a working model that contains a set of variables representing the principal features of the real-life system. It permits decisions that determine how these features might be modified in real time. 57

In other words, simulations attempt to enact a real-life situation so that observations can be made concerning


57Banghart and Trull, Educational Planning, p. 294.
various parts of the plan. Since some events and influences may be difficult or impossible to foresee, simulation can often be expressed in terms of probabilities. "Playing out the events of a plan in a realistic sequence within a probabilistic framework is the function of simulating."\textsuperscript{58}

Computers are frequently used to perform simulations. Montello and Wimberly illustrated how simulation could be used by citing the case of a high school superintendent of counseling services who needed to know how many counselors to hire in a soon-to-open school. By obtaining data from a similar school, a computer simulation can determine how many students will require counseling, how much counseling time they require, and, ultimately, how many counselors will be necessary to adequately handle the load.\textsuperscript{59}

Another simulation activity was illustrated by METROPOLIS, a simulation game developed by Duke University.\textsuperscript{60} Players are given assigned roles (as administrators, land speculators, school boards, etc.) and take part in a decision-making process that moves through several cycles and culminates in an election. In the course of the game, the ways in which each player's behavior affects the outcome are revealed.

Overviews of simulation techniques are included in

\textsuperscript{58} Ibid.

\textsuperscript{59} Montello and Wimberly, \textit{Management Systems}, pp. 52-53.

\textsuperscript{60} Banghart and Trull, \textit{Educational Planning}, p. 300.
Gonyea and in Models for Planning. Other examples of specific simulation activities appeared in Salmon, Burr, Emenhiser, and Steffensen.

Operational Gaming. Though more properly classified as a simulation activity (e.g., METROPOLIS is a gaming technique), gaming has been widely discussed in the literature of planning and deserves special mention. At least one writer has distinguished between simulation and gaming by saying that while both are "attempts by theorists to construct operating models of complex social and physical systems," simulations are more likely to have "all the salient variables . . . formally preprogrammed," and games are "more informal and tentative" and are more likely to rely on human participants." Games theory, however it is defined, has lent itself to extensive classroom use as well as to use among teachers and administrators for help in


gaining insight into particular problem situations. Games can be devised by anyone seeking to find solutions to problems in educational planning as long as essential steps and criteria are followed. Adelson and associates, for example, solicited expert advice in order to devise a game applicable to educational planning on the national level. Management games have been enthusiastically received by members of the business community ever since the development of the "Top Management Decision Simulation" by the American Management Association in 1956.

**Delphi.** The Delphi technique is essentially a method by which the judgments of experts regarding future trends, present needs, or other areas of interest to planners can be systematically pooled and tabulated. Typically, the technique involves the sending of three or more sets of questionnaires to selected groups of respondents. Respondents are first asked to give several general opinions and suggestions about a problem or trend. In the second round,

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respondents are asked to rank the various items in order of importance. In the third or fourth rounds, the experts are allowed to see and consider the responses of their colleagues and are asked to revise their responses if they choose. The results are collated and problems or trends are (presumably) identified.

Delphi has been applied to several areas. While often identified as primarily a tool for forecasting the future, Delphi has been used in areas as diverse as needs assessments, knowledge base development, and determination of community needs. Some critics of the Delphi method report that it is costly, time-consuming, and "elitist," and that a high participation rate is often hard to achieve.

68 Weaver, "Whither Goest," p. 7; Wheelwright and Makridakis, Forecasting Methods, p. 188; Paul E. Dowell, Jr., "Delphi Forecasting in Higher Education" (Ph.D. dissertation, George Peabody College for Teachers, 1975).


Fault Tree Analysis. Witkin described Fault Tree Analysis as a "research technique used to analyze the most probable modes of failure in a system, in order to redesign or monitor the system more closely in order to increase its likelihood of success."\textsuperscript{73} Witkin identified the four stages usually involved in Fault Tree Analysis as: (1) identification of the UE (undesired event) to be analyzed, (2) qualitative analysis of possible modes of occurrence of the UE, (3) identification of strategic paths (most probable modes of occurrence) through quantitative analysis, and (4) recommendations for system redesign or monitoring.\textsuperscript{74}

The analysis is usually accomplished by a graphic portrayal of a system using a branching process which resembles the outline of a tree. The undesired event is located at the apex of the tree, and events that contribute to the failure of the system are shown as sprouting downward from the UE. The Fault Tree diagram "provides a logical, step-by-step description of the various combinations of possible occurrences within a system which can result in a predefined undesired event."\textsuperscript{75}

PPBS (Planning-Programming-Budgeting Systems). Of all

\textsuperscript{73}\textsuperscript{Belle R. Witkin, "Fault Tree Analysis as a Planning and Management Tool: A Case Study,"} Educational Planning 3 (January 1977): 71.

\textsuperscript{74}\textsuperscript{Ibid., p. 75.}

\textsuperscript{75}\textsuperscript{Wood, "Teacher Use," pp. 14-15.}
the technologies discussed in the literature, PPBS has perhaps undergone the greatest scrutiny and has been subject to the most intensive criticism. Essentially an outgrowth of Department of Defense policies of the early sixties, PPBS was given official sanction in 1965, when President Johnson called for the introduction of the system throughout the federal government. Simply stated, the chief feature of the concept is an emphasis on the outputs of an organization rather than the inputs:

Program budgeting relates the output-oriented programs, or activities, of an organization to specific resources that are then stated in terms of budget dollars. Both programs and resources are projected for at least several years into the future. Emphasis is upon outputs, cost effectiveness methods, rational planning techniques, long-range objectives and analytical tools for decision making.76

The system operates in contrast to traditional educational budgeting structures whereby programs are organized on a line-item basis (such as instructional costs, board of education costs, administration costs), thus focusing on inputs. Studies from the late sixties and early seventies tend to speak favorably of the PPBS process and often give advice on how to make the system work.77 In the seventies,


approaches to PPBS have been more cautious and tentative. Arnold reported on several national studies showing that while program budgeting remains very much alive, several constraints prohibit it from being instituted or effectively implemented in many institutions. Some writers were more vehement in their criticisms; both Newton and Rajcic have questioned the overall effectiveness of PPBS and have given reasons for its apparent failure.

CPM-PERT (Critical Path Method--Planning, Evaluation, and Review Technique). In current literature, CPM and PERT were often treated as one and the same. Banghart and Trull distinguished between them by calling PERT probabilistic (used in projects which require "subtasks of considerable uncertainty") and CPM deterministic ("associated with projects where the various subtasks are reasonably well known and where the time estimates for the completion of those tasks can be reasonably ascertained"). However, the essential method for both techniques is so similar that such distinctions hardly seem necessary.

CPM-PERT has proved especially useful whenever "there


80 Banghart and Trull, Educational Planning, p. 387.
are critical schedule problems of considerable complexity involving factors of time, cost, or size.”81 The process involves five steps:

1. Take each operational objective and outline in time sequence order and the tasks which must be accomplished in order to achieve it.

2. On a flow chart indicate the anticipated elapsed time for performing each task and identify those tasks which are to be performed simultaneously. Identify as critical paths any tasks which consume time while simultaneous tasks stand and wait.

3. Revise the flow chart based on a reallocation of resources in order to reduce the estimated time for critical paths, and also for adjustment of other inefficient procedures by substitution of alternatives.


5. Continuously review performance in order to improve efficiency.82

The first three steps are considered the planning stage; steps four and five comprise the evaluation and review stages, respectively.

The applications of CPM-PERT are almost limitless. In the past, the technique has been used successfully in the scheduling of a Broadway play, construction work, the space program, construction of the Polaris submarine, establishment of new educational institutions, development of new curricula, and in a host of other enterprises.83 Though certain writers

81 McManama, Systems Analysis, p. 55.
82 Ibid.
83 Hostrop, Managing Education, p. 87.
have pointed out the limitations of the techniques as applied to problems in higher education, most continue to consider it a valuable tool for educational planners.\textsuperscript{84}

MBO (Management by Objectives). Although described as a generalized approach to planning or as a "way of thinking about management,"\textsuperscript{85} MBO has taken on the role of a specific technique that can be applied to problems in education. In essence, MBO "emphasized the achievement of predetermined system, unit, and individual goals and objectives by demonstrable, measurable results."\textsuperscript{86} The key term here is \textit{results}. Whereas many traditional management systems are based on control (keeping track of what the personnel are doing), systems using MBO focus on specific results. Educational systems, it has been argued, have been characterized by a management of means, or controls.\textsuperscript{87}

In considering the application of MBO to higher education, Mullen listed its structural and conceptual limitations but concluded that "the advantages in terms of defining organizational and individual functions and responsibilities


\textsuperscript{85}Hostrop, \textit{Managing Education}, p. 178.

\textsuperscript{86}Ibid., p. 240.

\textsuperscript{87}Montello and Wimberly, \textit{Management Systems}, p. 81.
and communication far outweigh the disadvantages." Both Campbell and Hedayatinia have devised management models based on MBO concepts for educational institutions. Hedayatinia, in particular, indicated the factors that must be present if MBO is to have any success in educational planning: an explicit and understandable mission statement, clear goals and objectives, well-defined role responsibilities, an instrument for evaluation, strong leadership, orientation programs, MBO consultants, and the involvement of both administration and faculty in the implementation process.

Needs Assessment. Recent literature has given extended attention to needs assessment strategies in educational planning. The formulation of specific objectives has always been considered an integral part of the systems approach; the needs assessment process seeks to ascertain with precision specific areas of need prior to the formulation of objectives.

Gray suggested that a needs assessment should take place in six steps:

1. Recognize and identify concerns and/or symptoms within the system and formulate statements of potential needs.

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2. Pre-planning process involves deciding who will participate, how they will participate, within what structure, and under what conditions people will be involved.

3. Determine possible or probable causalities for each potential need and identify possible methods for collecting the information.

4. Select feasible methods and sources for collecting information and develop, modify, or select instruments or procedures appropriate for the retrieval of the information.

5. Collect, assemble, and analyze the data gathered.

6. Validate the actual needs ... rank them according to priority. [Gray provides instruments for this purpose.] 90

The development of needs assessment instruments applicable to particular aspects of educational planning has been very much in evidence in recent years. Writers have devised strategies for needs assessment in such areas as information gathering, 91 media and media center use, 92 community involvement, 93 and student needs. 94 Needs assessment tools


for more comprehensive application have been presented by
Jones and Sommers, Eastmond, and Raines.\textsuperscript{95} Despite the wide
acceptance of needs assessment concepts and strategies,
Chow found little evidence of widespread use of formal needs
assessments in instructional development agencies of higher
education.\textsuperscript{96}

**Statistical Analytic Techniques**

Many of the technologies discussed previously made
use of quantitative, statistical processes. Simulations,
for example, are often based on mathematical formulations
and run through a computer. Yet none of the technologies
can be regarded as primarily or exclusively dependent on
quantitative analysis. The list of technologies that fol­

ows is meant to summarize techniques that do depend pri­

arily on quantitative solutions in educational planning.

**Bayesian Statistics.** One of the leading proponents
of Bayesian analysis, C. Kenneth Tanner, described the
process as "an attempt to incorporate all available relevant

\textsuperscript{95}Wayne A. Jones and Paul A. Sommers, "Comprehensive
Needs Assessment: An Inferential Approach," \textit{Educational
Technology} 15 (April 1975): 54-57; Jefferson N. Eastmond,
Jr., "The Implementation of a Model for Needs Assessment
in Higher Education" (Ph.D. dissertation, University of
Utah, 1976); Max R. Raines, \textit{Developing Constituency Programs}
in Community Colleges (Arlington, Va.: ERIC Document Repro­
duction Service, ED 143 393, 1977).

\textsuperscript{96}Clement Hai Man Chow, "An Investigation of the
Concept of Needs Assessment and Its Role in Three Instruc­
tional Development Agencies in Higher Education" (Ph.D. dis­
sertation, Syracuse University, 1976; Ann Arbor, Mich.: University Microfilms, 77-9846, 1977).
information into the process of making inferences concerning a given state of nature to be assessed, and making decisions based on these inferences." The chief value of Bayesian statistics is that it is designed to deal with subjective beliefs and judgments, that it is able to make use of uncertainties in human behavior. A set of mutually exclusive but possible events can be described about which it is known that only one event will occur, though which event is uncertain. The Bayesian approach allows probabilities to be assigned to each event (and revised probabilities to be made as new information becomes available). Ultimately, a decision can be made: "Once the inferences are drawn from the available evidence, some action or actions must be chosen from among various alternatives." 

Possible applications of Bayesian statistics to education are many. Tanner lists as areas of particular applicability the ordering of priorities, evaluations of achievement, estimation of long-range program effectiveness, and short-range assessment of program components.

Trend Analysis. Trend analysis embraces a series of techniques, all of which are based on the premise that future

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98 Ibid., p. 33.
trends can be projected based on certain quantitative information concerning a social process. Brown outlined four methods in general use:

1. Trend extrapolation. The "value of some interesting variable is either plotted on a graph or compared against specific points in time, such as years, months, or days, arranged in increasing order. . . . It is often noted that the variable increases or decreases with time."

2. Time series analysis. This is "usually applied when the variable of interest shows a jagged graph against time and when it is believed that the variable experiences periodic fluctuations, such as seasonal cycles."

3. Growth analysis. Attention here is focused on how a process is generated. The graph usually traces the "growth of a process from a time when the process was not operative to a later time when the process is completed." The result is often an "S" curve.

4. Cohort analysis. "A cohort is usually defined as a group of people that is formed at some point in time. The size of the cohort often demonstrates a regular decrease over time. If the basis of the attrition process is specified in the mathematical model, it is frequently possible to describe the shape of the survival curve and hence to project it into future time." 100

Several writers point out that trend analysis presumes that the forces which operated in the past will continue to operate in the future. 101 A major problem, according to Pulliam and Bowman, lies in the area of parameter selection: parameters must be quantifiable, they must provide sufficient historical data, and regularity of patterns must be established. 102

Cost-Benefit Analysis. A management tool borrowed from business and industry, cost-benefit analysis has obvious relevance to educational planners, especially in times of shrinking resources. Bruno and Fox were careful to distinguish between cost-effectiveness (outputs expressed in "raw" units) and cost-benefit (outputs expressed in dollar values), though clearly the two terms apply to essentially the same concept. 103 Hostrop's definition was perhaps the clearest: [Cost-benefit analysis is] "the process of examining and comparing alternative courses of action with respect to two main considerations: the cost in terms of needed resources, and the benefits (in general, the gains, utility, value, or


102 Pulliam and Bowman, Educational Futurism, p. 11.

103 James E. Bruno and James N. Fox, Quantitative Analysis in Educational Administrator Preparation Programs (Columbus, Ohio: University Council for Educational Administration, the Ohio State University, 1973), p. 4.
effectiveness) in terms of objectives to be attained. The results of the analysis can serve as one of the factors assisting the decision maker in choice of alternatives.\textsuperscript{104}

Although most planners agree with Tanner's assertion that cost-effectiveness "facilitates planning for allocation of resources and supplies valuable comparative data for policy decisions,"\textsuperscript{105} some writers have drawn attention to problems with cost benefit/cost effectiveness approaches. Woodhall surveyed theoretical problems, especially as they apply to developing countries. Carpenter and Haggart identified problem areas that must be dealt with if such a technique is to prove useful, areas such as the difficulty of determining required resources, the lack of a fully developed methodology for resource and cost analysis, the misleading nature of a single measure, and the need for criteria of effectiveness.\textsuperscript{106}

**Linear Programming.** Linear programming is generally used in cases where the planner must make the most of limited resources under a given set of constraints. "The objective

\textsuperscript{104}Hostrop, \textit{Managing Education}, p. 237.

\textsuperscript{105}Tanner, "Futuristic Models," p. 16.

is to maximize or minimize some function. The decision problem is solved by finding the levels of the various activities that maximize (or minimize) the objective function while satisfying all restrictions."107 The mathematical technique is sophisticated and often requires the help of an expert, but results can be impressive. Tanner cited an instance of linear programming applied to a school lunch program: in a one-month period, a school system serving approximately ten million lunches annually compiled as much as $30,000 in savings.108 Other uses are less dramatic but do indicate areas in which linear programming can be fruitfully employed.109

Monte Carlo. Like Bayesian analysis, Monte Carlo is a technique designed to deal with probabilities rather than certainties. Bruno described the concept:

In effect, the Monte Carlo method is analogous to submitting the problem under consideration to a roulette wheel. At each step, the probabilities of separate events are merged with previous events to provide a composite picture of the situation and to yield an approximate but workable solution to the problem. The generation of random numbers, of course, becomes the roulette wheel in the problem. To produce statistically significant results, this step-by-step process is repeated many times, using the same inputs, and using values from probability distributions in the stochastic functions.110

Tanner suggested that Monte Carlo can be useful in activities such as forecasting systematically the tendency for administrators to shift from one decision strategy to another. The general areas to which the technique can be applied are (1) cost benefit studies or inventory problems, (2) forecasting—projection computer simulation, and (3) theoretical problems.

Political Dynamics of the Long Range Planning Process

Many of the writers and researchers who advocated systems approaches to educational planning recognized that the development of a rational and technically unassailable plan is not enough. There are political, human, subjective dimensions that invariably enter in. Some writers suggested, in broad terms, that systems—in the process or feedback stages—allow for individual differences and provide the mechanisms for resolving political or idiosyncratic difficulties. Others recommend that planners bear in mind the politics of educational change but they assert that "planning is, or should be a technical and non-political process" in which controversies can be avoided and in which "values can or should be identified and discussed on their merits."

113 Edgar L. Morphet et al., Planning and Providing for Excellence in Education (New York: Citation Press, 1972), p. 49.
Such generalized statements for rationality and dissociation from political realities continue to exist in the literature of planning, but in recent years several writers have given closer scrutiny to the political dynamics of education, to the non-technical reasons that some plans fail and others succeed. Such a development is natural since educators are only beginning to see the results of long range planning strategies developed and adopted in the 1960's.

For some, the politics of planning is narrowly defined. Windham's survey of failures in macro-planning included a short section on politics, but the focus was largely on the economic consequences of political planning. 114

Wiles also reviewed literature critical of planning approaches but focused more specifically on the varieties of political resistance. Wiles recommended the use of "policy science," which attempts to reconcile the "two opposing camps" in educational policy-making: those who claim "a systematic, analytical, scientific, efficiency oriented" approach, and those whose attitudes are "tentative and exploratory, depending crucially for [their] success on the dynamic elements in the system." 115 The ultimate solution to political decision-making in education is

114 Windham, "Macro-Planning of Education," p. 188.

a training program for administrators that would "emphasize the political analysis skills of policy making" and "deal with organizational analysis and development, value judgements, political realities, and the art of compromise." 116

Williams and Nusberg stressed the idea that educational change depends upon the course of events in the larger society and that efforts to simply modify or refine existing programs will be doomed to fail, given the accelerating pace of change over the next two decades. 117 Others also focus on the need for adaptation of educational systems to outside forces. 118 Although not alien to systems views of reality (the hallmark of an "open system" is its adaptability to the surrounding environment), the attention given by the literature to politicized adaptation is notable. Downey, for instance, proposed a "comprehensive view of the policy-making process," in which "the political view [is] simply superimposed upon the rational view" and in which "the

116 Ibid., p. 56.


reality of both the intellectual and political aspects of the process [are] honored and accepted." 119

In explaining resistance to systems management concepts in educational institutions, researchers sometimes point to basic differences between the academic and business communities. Weaver noted differences in such areas as product development (business seeks adaptable, flexible products to suit consumer demands, whereas education stresses maintenance of similar standards for all learners), and personnel selection, training, and management (unlike business, education rarely provides for direct supervision of employees and requires little in the way of proving oneself once hiring has been done). 120 Hines explained the failure of management information systems in education by citing university traditions of academic freedom and "departmental and college entrepreneurship" and by suggesting that "solutions to its [education's] problems are reached using political rationality as a primary criterion and economic rationality as a secondary criterion." 121

The varieties of conflict that occur in organizational settings have been a favorite subject for several researchers and systems analysts. Aram provided an overview of five major administrative dilemmas:

120 Weaver, "Whiter Goest," pp. 9-10.
1. **Self-oriented and collective actions.** The clash of immediate self interests and organizational or collective responsibilities create a dilemma.

2. **Control and initiative.** Supervisory direction and control over tasks and subordinates may inhibit the initiative and innovation that could contribute to the long-run survival of the organization.

3. **Personal and institutional criteria.** Organizations may try to operate according to impersonal and equitable principles, but some role is often reserved for human and personal considerations. Inappropriate balance of these two sets of criteria in an organization creates undue stress that may ultimately lead to conflict.

4. **Individual needs and group norms.** Informal and implicit standards of behavior may conflict with the needs and attitudes of individuals.

5. **Adhering to and changing group norms.** Leaders are often caught between changing circumstances requiring changes in norms of interaction or ways of work and long-established group norms. 122

Rostetter listed eight conditions for the emergence of organizational conflict, based on the work of Collins. The essence of this "conflict perspective" is that "because man is capable of constructing a subjective reality, but

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must construct and act out that reality through and with others, conflict is ubiquitous. . . . It is the human condition which . . . perpetuates conflict." 123 Some observers have suggested ways in which conflict and tension can be overcome or creatively used in furthering institutional goals. 124 Others have warned against the potentially harmful effects certain conflictive practices—such as faculty collective bargaining—can have on educational planning. 125

One of the most comprehensive and readable considerations of politics and planning is that of Benveniste. After an extensive consideration of the meaning of planning and of the ways in which planning experts can be used by political leaders for political purposes, Benveniste focused on political aspects of the systems approach. 126 Three areas of special importance in systems approaches were singled out:

1. Goals must concentrate on policy areas where a high level of political consensus exists. When many


divergent views are present, political risks are greater and chances for successful definition of goals are learned.

2. Coherence maintenance involves the careful integration of subsystems. In political terms, this means the integration of political arrangements. A related concept is that of "optimization," or finding the "best" solution to a problem. In devising an optimal solution, the planner must think in terms of political constraints, though the prestige of the expert's special status may help prepare the way for acceptance of his plan: "the Prince may have power, but the experts appear to have access to a new kind of truth, a new approach that allows them to define what is best."

3. Feedback, since it implies a continuous and sustained process of evaluation and modification, is a prime cause of the institutionalization of policy expertise. Systems experts gain bases of operations and become professionalized. Specialization occurs and, ultimately, the experts become closer to other experts than to the people in the field.

This is a weakness of the systems approach and one of the reasons the systems experts often fail to play the political dimension of their role. They have an entree among their peers, but they do not perceive the issues as they are perceived in the bureaucracy or the community they expect to serve. They disregard implementers and beneficiaries.

127 Ibid., p. 74
128 Ibid., p. 77.
Actual studies of political interaction in the planning process have helped to identify some specific ways in which educational institutions are affected by political and human factors. Schofield, in a thesis reporting on case studies of two small colleges, suggested three factors which seem to stand in the way of successful long range planning:

(1) lack of recognition of possible planning improvements, caused by a lack of administrative training and detachment among college administrators; (2) a one-sided view of expenditures which ignores payoffs, especially ill-defined or distant payoffs; (3) a philosophy or attitude against structured, systematic planning processes in colleges.129

Schofield also attributed certain problems in planning to exclusive adherence to either of two planning modes, the "world view" mode and the "technical/economic" mode. The first "places primary stress on the qualities of education the school should embody, structures and forms employed to achieve the desired type of education, and the external factors in society that the college hopes to affect or by which it is necessarily affected"; the second "focuses on the quantitative aspects of the college generally, on college budgets for more than one year, and on understanding the college as a 'system.'"130

Fattu conducted a study of planning for higher education in Illinois. He discovered that attempts to institute


130Ibid., pp. 1-20,
systematic planning instruments--in addition to the creation of a State Board of Education and the adoption of new budgeting rules--served finally to enhance the role of the governor in educational decision-making while the Board served only as an articulator and intermediary between the state and the colleges. 131 Jennings observed a similar absorption of power in his study of six English local educational agencies: the party in power seized the extended educational structure for the governance of education, defined and used consultation services to limit access of others to influential positions, and made the party the primary vehicle for educational change. 132

Ploude surveyed the use of CAMPUS, PLANTRAN, RRPM, and SEARCH in a number of institutions of higher education. He concluded that the chief obstacles to systems planning were lack of administrative commitment and difficulty in interpreting the planning models. 133 Other studies reveal different areas of resistance. An examination of the relationship of PPBS to academic freedom in higher education, for instance, indicated several areas of conflict (particularly as it related to faculty output), while a more recent


consideration of systems planning on the department level showed a clear resistance to systems approaches on the part of many department heads.\textsuperscript{134}

Some investigations have concentrated on particular factors that seem to facilitate the process of planned change. Davies acknowledged the limitations of planning systems, then isolated several critical success factors of demonstrated value.\textsuperscript{135} Arbuckle studied the factors that appeared to insure the success of programs after the withdrawal of federal funding:

1. Congruence of project and teacher and goals.
2. Administrative support.
3. Training and follow-up assistance.
4. Limited target population.
5. Innovations which replace or improve existing practices.
7. Adaptation of project concepts and practices.
8. Organizational environment conducive to educational improvement and growth.


\textsuperscript{135}Davies, \textit{Institutional Analysis}, pp. 1-7.
10. District support. 136

Despite the isolation of such "success factors," the politics and dynamics of planning continue to be elusive and troubling areas for educators as well as for systems analysts. Administrative and community support are obviously needed to insure the success of any long range plan; precisely how that support is to be obtained is another matter. The problem is complicated by those critics of systems analysis who, like Apple, question the validity of the entire enterprise as it is applied to education. They find systems analysis unscientific, manipulative, marked by empty rhetoric, and essentially conservative in its insistence on regarding problems as technical in nature rather than as arising from basic conflicts in values of ideologies. 137 The definitive answer to why systems fail has not yet been found, though it is clear that, in one way or another, some systems do fail.

Implications of Long Range Planning for the Future of Education

The adoption of systems approaches and of specific planning techniques is bound to affect educational


institutions in a host of complex and sometimes unforeseeable ways. Three areas of particular importance in the literature of educational planning are curriculum, staff development, and financing.

Curriculum

Several writers predict changes in the curriculum based on general observations of current trends. Knezevich envisioned a massive overhauling in almost all areas: a research and development investment of over $10 billion; a total reworking of substantive knowledge in various fields; extensive changes in educational formats to accommodate individual needs and to better promote effective and efficient learning opportunities; and a major emphasis on student health and health services. Bebell's list of "probable" or "desirable" curricular changes reflected the mood of the sixties but continued to have relevance for the seventies. Among the changes Bebell suggested were: (1) an emphasis on process rather than content; (2) a re-examination of the emphasis on "content-heavy" courses such as English or history, and a possible reduction in the amount of time given to them; (3) an increase in the number of "practical courses" and in the proportions of students enrolled in them; (4) greater flexibility in curricular planning; (5) greater

independence on the part of each learner in building his own program; (6) greater awareness of the importance of vocational and technical education. 139

Pfnister reviewed literature dealing with curriculum changes from 1965 to 1975 and remarked that "one can hardly fail to be impressed by at least two factors: (1) the great amount of writing that is being published, and (2) the similarity between what in 1965 was reported as new and innovative and that which is reported as new and innovative in 1975." 140 The creation of new institutions to foster experimental and innovative educational methods; the transformation of existing institutions into reorganized colleges, "colleges-within-colleges," and cluster colleges; and change by means of accretion and attrition (e.g., changing general education requirements, changing views toward academic specialization), were all cited by Pfnister as areas in which few basic attitudes have changed. Yet, Pfnister noted, "it is difficult to escape the conclusion that more colleges and universities are engaged in some form of curricular study and/or revision than ever before." 141 Pfnister's observations are supported by


141 Ibid., p. 245.
Saylor and Alexander, whose "essential characteristics of the school of the future" consist of concepts and predictions that have changed little over the past decade. These writers envisioned curricula that allowed for such things as fullest personal development, equality of opportunity, comprehensive curriculum, and varied teaching modes.  

Some clear implications for curriculum development in long range planning were contained in studies that propose specific systems approaches and tools. In recent years, efforts have been made to formulate a taxonomy for curriculum planning, to develop curriculum models, and to apply systems technologies, such as needs assessment, to curricular problems. Although fundamental assumptions concerning the general direction of curriculum change may be relatively stable, methods for introducing change are almost certain to be characterized by increasing reliance


on the techniques and models currently under development by educational planners.

Staff Development

The introduction of new planning and curricular concepts will have a substantial impact on staffing in the coming years. Knezevich suggested that "creation of new programs, and development of new instructional formats on a fairly frequent basis between 1980 and 1985 will demand equally massive retraining programs for teachers, administrators, and supervisors," with local school and university budgets for staff development rising to at least ten times the 1971 levels.146

Haskew's 1968 consideration of the effects of new systems in planning on staff development remains convincing. The traditional view of school or college performance as essentially a "symposium of comprehensive individual performances," asserted Haskew, appeared obsolete and inefficient to many students of educational organization. It is, these students contended, "an outmoded means for capitalizing upon the educative technology already available and certainly cannot exploit the technology to become available."147 The proposed solution involves increased reliance

146 Knezevich, "Perspectives," in Educational Futurism 1985, ed. Hack et al., p. 44.
on systems of instruction; staff should be selected with a view toward their usefulness in terms of systems approaches. In other words, workers will represent many levels of professional development and will tend to perform specialized functions. Most of the specialization, however, will involve the self-motivated education of workers already employed. "In each institution, staffing . . . becomes chiefly a matter of school system and institutional action to train and place its own personnel in systematic performance relationships."148

Financing

The most obvious implication of systems approaches as applied to educational financing lies in the development of tools for resource allocation. PPBS is perhaps the best known of these tools; as long as financing remains one of the most crucial aspects of the educational planning (and as long as schools continue to operate under severe financial stress), tightly structured systems concepts will continue to dominate discussions of effective financing.149

Ever-increasing need for financial support among educational institutions has caused many writers to look to government sources (federal and state, in particular)

148 Ibid., p. 32.

for help. Several articles and reports have stressed means by which educational planners can use systems approaches in their efforts to increase state or federal funding. "The real challenge . . . lies not so much in dollars, but in mapping the strategic plans for actions designed to produce increased financial support on the basis of demonstrated need and effectiveness." 150 Johns outlined a series of models for state participation in school financing. For public schools, he listed eight possible formulas: (1) complete state support of the foundation program, (2) state flat grant of a uniform amount per classroom unit, (3) matching mandated local funds with state funds on a dollar-for-dollar basis, (4) equalized matching, (5) the Strayer-Haig Model, (6) the percentage grant or state aid ratio formula, (7) an equalized matching incentive grant added to the foundation program, and (8) an incentive grant provided by matching optional local taxes in the same ratio of state to local funds as provided in the foundation program. 151

The erratic and short-term nature of much government funding, of courses, poses problems for long range planners. Schofield used his study of Kirkland and Emerson Colleges


to suggest specific budgetary practices designed to minimize the negative consequences of uncertain government support.\textsuperscript{152} Pfnister's survey of studies on educational financing confirmed this increased reliance on government sources and gave evidence that more and more institutions were turning to systems borrowed from business and industry to insure effectively "managed" institutions.\textsuperscript{153}

**Conclusion**

The picture that emerged from a review of the literature was a fairly consistent one. Educational planners, influenced by systems planners of the sixties and seventies and under increasing pressure to deal with shrinking financial resources and accelerating educational change, are being presented with a vast array of concepts, models, and technologies designed to reduce uncertainty and help insure institutional success. Although a number of objections to LRP have already been raised on political, humanistic, ethical, and other grounds and despite occasional reports of difficulty or failure (with PPBS, for example), systematic long range planning remains a growing and flourishing field. Precisely where education will go from here, no one is sure; what is sure, however, is that long range planners will seek to influence the design of educational institutions far into the future.

\textsuperscript{153}Pfnister, Planning for Higher Education, pp. 340-41
CHAPTER III

REPORT OF DATA

Introduction

The purpose of this chapter is to report the data collected during the field research conducted at three institutions of higher education. Each campus was visited for a period of five days to gather the necessary documentation of the long range planning (LRP) process.

Permission was granted by each respective president to conduct in-depth interviews with appropriate administrative personnel, committee chairpersons, trustees, and faculty members who were involved in the planning process. Although an interview schedule was used to guide the discussion, it was frequently necessary to deviate from the prescribed format. A free flowing discussion was encouraged by the researcher, so that a more accurate description of the process was possible. The three case studies were recorded as they were described; however, the experience, insight, and bias of the researcher must have entered into the reconstruction of each planning process.

In addition, each president made available numerous primary source documents, such as college catalogs, student publications, memoranda, announcements, public relations
brochures, and minutes of actual meetings of the long range planning committees. These documents were used to establish various aspects of the institutions and to verify statements made by the people interviewed.

**Terry Institute--Case Study I**

**Institutional Profile**

**Introduction**

Terry Institute is one of the few institutions of its kind in American higher education. Its educational programs have been designed to provide a superior, rigorous undergraduate education in science and engineering for students whose academic and personal qualifications offer high potential for success in their chosen professions.

**Historical Perspective**

Terry Institute was founded in 1874 by a pioneer industrialist and entrepreneur who saw the need for broadly educated scientists and engineers to help in the social and economic development of the nation. The institute continues to emphasize a liberal education in science and engineering and offers programs of study leading to the bachelor of science degree in a variety of engineering, mathematics, and science areas. The institute's primary mission has been to prepare young men for service to society through direct and immediate employment by industry or government upon completion of the bachelor of science degree. Very few of the institute's
energies have been directed toward research or graduate studies. However, the institute does offer programs lead­ing to the master of science degree in some areas.

**Location**

The campus is located near a community of 170,000 people, in a suburban/residential setting. One private college and one major state university are within close proximity of Terry Institute. The 130 acre site is one of natural beauty, with two lakes and rolling, wooded hills and meadows; the site provides an excellent environment for educational and extracurricular activities. Buildings are sited to blend with the natural setting. Since the site was donated in 1914, and the first academic building was occupied in 1922, there has been a continuing building and improvement program at the college. As of 1979, there were twelve major structures on the campus and an equal number of secondary buildings, all of varying age, quality, and condition.

**Facilities**

The main building houses laboratories, classrooms, and faculty offices for the academic divisions. Two adjacent buildings provide additional classrooms and a computer center to supplement the academic functions of the divisions.

The library contains approximately 43,000 volumes, and is housed in the upper two levels of a building completed in
1973. Audiovisual services, seminar and classroom space, and a language laboratory have been established in the lower level of the library.

The student union, which overlooks the larger campus lake, features a glass-enclosed dining room seating 500 persons. This building offers food service, private dining rooms, a snack bar, a bookstore, a formal lounge, and a game room. At the heart of the varsity, intramural athletics and recreation programs are the fieldhouse and the adjacent recreation center. The fieldhouse features a synthetic surface basketball floor and a one-twelfth mile track. The recreation center provides two additional basketball courts, handball courts, and wrestling, weight lifting, and exercise areas.

Seven dormitories provide on-campus housing for 650 students. These dorms were constructed over a period from 1926 through 1969. The remaining resident students occupy rooms provided by six national fraternities, three of which operate houses on campus and three of which occupy residences within a short distance of the campus.

Students

Terry Institute has an enrollment of approximately 1,100 undergraduate students and five graduate students. The institute continues to attract students of exceptional ability. The average freshman ranks in the 95th percentile of his high school graduating class. A recent freshman class
of 360 students from thirty-five states was the largest group ever admitted and the best ever measured by three common yardsticks used by admissions officers—class rank, achievement as determined by the Scholastic Aptitude Test (SAT) and American College Testing (ACT) scores, and the number of students recognized as National Merit Scholars. Sixty-four freshmen ranked in the top three positions of their high school class. The average score on the mathematics section of the SAT's was 672 out of a possible 800, which placed Terry freshmen in the 98th percentile for this nationally administered examination. These entering freshmen also ranked high in verbal ability. The average score of 550 places them at the 93rd percentile nationally. A record thirty-three incoming freshmen were National Merit Scholars. The National Merit Corporation indicated that 20 percent of this class were commended as scholars, semifinalists, or finalists.

Terry Institute graduates have an impressive record of service to the industrial economy. Surveys have indicated that approximately 80 percent of all those graduates who were actively employed were in industrial occupations. Nearly one-third of the alumni were working in important managerial positions in major corporations or smaller private businesses. Placement records indicate that the overwhelming majority of students in each graduating class enter private industry.
Faculty

Terry Institute hires faculty members for their proved ability to teach, seeking professors who believe that teaching is their primary responsibility. Eighty percent of the approximately eighty faculty members have earned the Ph.D. The curriculum appears to be rigorous and demanding, and the faculty seeks to perpetuate an attitude of enthusiasm, motivation, dedication, concern, and a willingness to innovate. The board of managers endorses the concept of tenure and abides by the tenure policy adopted in 1965.

Administration

The administrative function of the institute centers on the by-laws of the Board of Managers. This board is charged with the management of the business and academic concerns of the school. The president is a member of the board and recommends to it the appointment of his administrative team. The President's Executive Committee is comprised of the Vice-President of Academic Affairs, the Vice-President of Finance, the Vice-President of Development, the Dean of Student Affairs, and the Dean of Admissions. The Executive Committee serves in an advisory capacity to the president and participates directly in the decision making process. In addition, the president meets regularly with the Academic Council to maintain communication between the president's office and the various constituencies on the campus,
The Academic Council is composed of all members of the Executive Committee, all chairmen of academic divisions, the Director of Continuing Education, the Director of the Computing Center, the Librarian, the Director of Athletics, the Director of Food Service, the Professor of Military Science, the Director of Residence Halls, the Assistant to the Dean of Student Affairs, the Registrar, the Associate Director of Financial Aid, the Director of Development, and the Director of Alumni Affairs and Special Events.

Academic affairs of the institute are of particular concern to the Vice-President of Academic Affairs. Teaching and academic standards are developed in conjunction with the five chairmen responsible for their respective academic divisions, the Vice-President of Academic Affairs, and the Advisory Council. The Advisory Council, an elected group of the faculty, advises the vice-president and helps to maintain communication between the vice-president and the faculty. In addition, the faculty is organized into a number of committees, councils, and commissions that recommend academic policy and actions to the president.

Financial Status

Terry Institute enjoys a relatively stable financial condition, according to the auditor's report of 1978, which revealed a twenty-two million dollar endowment fund and a balanced budget. These figures indicated that high interest among business and industry continued to encourage private
donations and gifts that enable the institution to provide the programs identified as important. However, because of the high costs involved, continued and improved efforts in development will be necessary to maintain a balanced budget in the future.

The Planning Climate

The planning climate at Terry Institute was influenced by several specific factors. Among those factors were: (1) during the period, 1961-1976, the institution had undergone significant change and growth; (2) the president of long standing had retired in 1976; (3) the Board of Managers was looking for new leadership and new direction for the school; (4) the new president wanted to know where the faculty perceived the institution should be going; (5) the faculty was reluctant to actively pursue large scale, philosophical, or programmatic changes; and (6) consistent recognition that private institutions of higher education must be keenly aware of the needs of their constituencies, if they are to survive during the immediate future.

Under the previous president, who served from 1961 to 1976, the institute underwent a number of significant changes. This was a period of growth during which the student population doubled, the faculty increased, and many new buildings were added. Fund raising was an important task, and occupied a major portion of the president's time and energy. Curriculum
development and revisions caused numerous changes, which often created a struggle for an appropriate share of the institutional resources. The president thus was unable to meet the needs of all faculty and was experiencing some loss of faculty and administrative support.

During the last two years of his administration, the president experienced a series of strong challenges to his perception of the future direction of the institute. These challenges ultimately led to dissolution of the administrative leadership, the retirement of the president, and the resignation of the Dean of the Faculty.

The Board of Managers wished to continue the obvious growth and development experienced during the previous twelve years, and began a one-year search for a new, dynamic, and capable institutional leader. The president was selected by the Board of Managers with input from various institutional constituencies. The new administrator was chosen on the basis of his apparent leadership in the field of engineering and his proved administrative ability. It was clear, early in the interview process, that the prospective president had specific thoughts on possible changes affecting long standing traditions at the school. His statements regarding expanded enrollments, the need for more research orientation and graduate study, and the admittance of women were viewed with great interest by many established faculty members.
The new president, during the first year of his term, attempted to ascertain the basic goals and direction of the faculty and board by meticulously reviewing available documents and by meeting with faculty and staff. It was soon apparent that although the institute did have a defined mission, the people responsible for its implementation were not unified in their understanding or support. The goals and objectives of Terry Institute were being interpreted in various ways to meet the needs of those conducting the programs. In addition, some faculty members indicated concern about the board's motivation in hiring the new president.

The faculty was aware of the contrast between the uncertain future of many private institutions of higher education and the comfortable position in the current student marketplace held by Terry Institute. Therefore some faculty members were somewhat reluctant to examine possibilities of change. Major philosophical shifts in program or emphasis were perceived as unimportant concerns. Faculty members did express the belief that there should be improvement in existing conditions, programs, and provisions for faculty welfare. However, the Board of Managers and the president were convinced of the need to constantly examine all aspects of the future as it related to this school in order to maintain its position in the marketplace. The president of Terry Institute made it clear in interviews that he looked upon long range planning as an effective means of examining current institutional trends from which future projections could be derived.
The Planning Process

The planning process was initiated by the president in December, 1976, and was completed by November, 1977. During the two months preceding the announcement of the formation of the Commission on Self-Study, the president sought the advice of the Board of Managers, the Executive Committee, and the Academic Council. It was clear at that time that no major objection to conducting this study could be determined.

Committee Selection

The president first appointed an administrative representative who would be responsible directly to his office and would act on behalf of administrative interests. This person was the Associate Dean of the Faculty. Highly respected by both administration and faculty, the dean frequently was assigned by the president to assignments that were difficult and required a meticulous effort. The president indicated that he felt considerable confidence in the dean's ability and would carefully examine the items the dean raised for discussion. The dean was also the Director of the Technology Assessment Program, which proved to be a valuable asset in developing the scheme for long range planning.

During an early interview the president indicated a desire to seek ways of more actively involving the board in the affairs of the institute. He was concerned that low participation of board members would in the long run be detrimental
to the institution. Involvement in an extended self-study was one way of encouraging more direct interest in the school.

In selecting representatives from the board of managers, the president chose one member of long standing (also a former student of the institute) and a relatively new member. Other than a willingness to serve and invest significant amounts of time in the process, the rationale for selecting these commission members was not clear. In interview, the president indicated that on the basis of his knowledge of their participation in board activities in the past, he believed they would do a good job. He knew that the senior member was the secretary for the board and was a well established businessman who had been semi-retired for several years. This person lived within 100 miles of the campus and would be likely to attend most if not all the scheduled meetings on campus. The other board member lived more than 300 miles from campus and was not the chief executive officer of his company. There was some question, prior to the appointment, as to whether this individual would be actively involved in the development of the self-study. However, the invitation was extended and accepted by this board member.

In order to provide direct input from the primary constituency of the institution, student participation was welcomed. The Dean of Students was asked to recommend names of possible candidates for the two student seats on the commission. Following the Dean of Students' recommendations, the
president of the senior class and the managing editor of the school newspaper were selected. In each case the individuals were considered leaders by their peers and had the potential of representing the opinion of the larger student population. They also had an organizational structure through which pertinent information could be sought and distributed.

Because it was deemed important to balance current student viewpoints with past experiences of graduates of Terry Institute, two representatives of the alumni were appointed to the Commission on Self-Study. The alumni selected had graduated from the institution between 1970 and 1975. Each person lived within commuting distance of the institution and had attended the school the full four years of the undergraduate program.

It was the decision of the president that faculty representatives should be identified by faculty choice rather than by presidential appointment. In early December, 1976, each division was asked to present the name of a representative to serve on the Self-Study Commission. The selection mechanism, although assumed to be by election, was left to each division. The main objective was to have commission members who would reflect both overall institutional interest and specific divisional perspectives. According to various division representatives, each division was careful to select a person who would do a competent job as well as represent their political interests. One person interviewed commented
that his division's representative was "more middle of the road" rather than holding a strong bias. It seemed important to select people who were competent, articulate, and open to reason. The selection of the five faculty positions was done differently by each division, but each division chose someone perceived as a competent representative, an indication that the task was viewed as important to the institution and the individual division.

During the extensive interviews, two specific points surfaced. Several people indicated concern as to the president's motive for creating a self-study commission. They were cautious about participating in the process and supporting the outcome of the commission's work. Divisions wanted people who knew the institutional history and also would be willing to oppose any position that could be interpreted as dictated. The president would be required to clearly articulate his intentions, and he could be challenged. The make-up of the commission, however, indicated that if the faculty selected its representative well, it could present a strong point of view and play a significant role in the outcome of the study.

In interviews, the president made it clear that he wanted strong faculty input and was willing to support the final outcome of the report, even if the recommendations were diametrically opposed to his own views. He had confidence that his position could be interjected as needed by himself or by the administrative representative. He indicated that
at this time he did not intend to participate consistently in all discussions or deliberations but planned to monitor progress and state his position as needed. He wanted the commission to function as independently as possible. This attitude indicated a high level of trust, openness, and confidence in the group process.

When questioned about his interest in the report, the president indicated that it was important that faculty, administration, students, and members of the Board of Managers have the opportunity to examine thoroughly the institutional mission and goals. He believed that it was important to look toward the next ten years and that such activity would help his office manage the institution with more confidence. The president did not consider it important that none of the commission members had specific training in long range planning. While no specific training program or meetings with consultants were planned, the commission would have ready access to necessary assistance and resources as needed.

The final composition of the Self-Study Commission was comprised of twelve members, two representatives from the Board of Managers, two student representatives, two alumni representatives, five faculty representatives, and one administrative representative. The president always reserved the right to participate but fully intended not to be the chairman of the group. He wished the group to appoint its own chairperson.
Initiating the Process

The first meeting of the Self-Study Commission was called to order by the president on January 10, 1977 at 12:00 noon. All members of the commission were present except one board member, the two alumni representatives, and the one administrative representative. The president outlined the general goals for the group and offered full support from his office. He further indicated various areas the commission might study, such as physical facilities, faculty and staff needs, new and revised educational programs, general educational philosophy, the educational environment, and areas of excellence to be developed. It was made clear that outside consultants such as architects could be called upon at appropriate times. The group then discussed plans for operation of the commission and decided that additional organizational meetings would be necessary. Most members agreed that once the parameters of the study were decided upon, it would be advantageous to meet at a few sessions in retreat style, rather than hurriedly in the midst of a day's busy schedule. The president left the meeting to allow the commission to proceed with its initial organization. Two faculty members were elected chairman pro-tem and secretary pro-tem. It was further decided that a permanent chairperson and secretary would be elected at the next meeting.

On January 19, 1977 the second meeting was called to
order by entertaining nominations for election of a permanent chairman and secretary. The positions were filled by the two faculty members elected at the previous meeting. A general discussion of the commission's purpose led to a proposal that the group first clearly identify its task. It was determined that it would be desirable to have a practical blueprint for decision makers such as the president, the Board of Managers, and the faculty to use in managing the school's affairs. The final report should be ready by the November 1977 meeting of the Board of Managers. Several members of the group spoke of the importance of the task ahead and the overall impact this study could have on the future of the institute. Several topics were presented for discussion, including a list of thirteen questions and a flow chart that visualized the complexities of proceeding from a task definition to the final report and recommendations. The scope of this study was limited to the period from 1977-1987. The following goal statements were adopted as a starting point for the commission:

1. Define the current state of the institute.

2. Determine the future state of the institute if no alterations are made in internal policies and operations.

3. Determine the future state the institute might attain with alterations in internal policies and operations.

4. Determine policy options for attaining the most desirable future state of the institute.
The meeting concluded with an agreement that the secretary would prepare and distribute the minutes of each meeting prior to the next session, so that the members would have time to read and think about them. The next meeting was to be devoted to determining procedures for the task of gathering data from both internal and external sources as they related to the role of the institute in society for the period 1977-1987.

Based upon the minutes of January 26, 1977, it was clear that the commission was involved in the self-study and was searching for the proper way to proceed. This point was reinforced throughout the many interviews with individual members. Several persons indicated that, although they were not trained in institutional planning, their analytical academic background was invaluable during the early stages of problem definition. All members agreed that the sessions devoted to searching for the task statement and procedures were critical to efficient progress. However, in retrospect, several members indicated that some valuable time would have been saved had specific process plans been available. Such plans would have allowed the commission to ultimately adopt or modify them. Other self-studies or long range planning had been done in the past by other institutions, and a review of some successful ventures would have prevented discovering similar thoughts all over again.

The minutes of the third session emphasized the group's
involvement and struggle to conclude a task definition. Each person brought to the meeting many materials to be examined by the other members. The chairman listed the various documents and encouraged full discussion. Evidence of the struggle was clear in the minutes which indicated that the chairperson on several occasions reminded the commission that it was still engaged in determining its mission. He explained that he did not consider two meetings excessive for the important task of laying the ground work for the job ahead.

The documents examined at the third session included a position paper written for Terry Institute on "Reasons for Long Range Planning," an abstract of comments by department heads of a "Ten Year Planning Session," held in 1962, and four plans generated by similar institutions between 1963 and 1972.

As the meeting concluded, the members appeared to arrive at a consensus on how to proceed. Each member volunteered to obtain information about the current state of the institute. Task assignments included management, academic programs, non-academic programs, facilities, finances, and questionnaires that could be developed for use with students, faculty, and alumni. Each member was to decide what information he or she wanted and the most efficient way to obtain it. The commission in general would serve as a reactor to the proposals.
Two specific issues were a direct outcome of the basic assignments agreed upon. One issue dealt with the extent of the "parties-at-interest," the second concerned methods of gathering the necessary information most efficiently. Several decisions set numerous activities in motion:

1. The parties-at-interest were to be expanded from representatives of alumni, students, and faculty to include the following: **internal constituencies**, including faculty, students, staff, and Board of Managers; **external beneficiaries**, including industry and prospective students; **external sponsors**, including industry, government, foundations, and alumni; and **society/social expectations**, including co-education and E.E.O.

2. The primary sources for information gathering were to be supervised or led by the members of the commission. These would include:

   (a) **Interviews** with individuals most likely to provide valuable input.

   (b) **Documents** previously prepared by the institution (such as mission statements, self-studies, or previous plans).

   (c) **Questionnaires** specifically developed to solicit impressions of past, present, and future directions of the institute.

   (d) **Forecasting techniques** designed to communicate or speculate on possible futures by means of written descriptions or stories. This type of information is often acquired by using a scenario which generally includes detailed consideration...
of how current events and trends are likely to lead to particular future results.

(e) **Assessment techniques** designed to focus the collective judgements of experts in the field. Technologies such as the Delphi Technique would be used to pool and tabulate the expert responses to particular areas of interest. An in-house computer would be used to help sort and interpret the accumulated data.

**Time Control**

During February and March the commission spent most of its time gathering the data through the several methods outlined. Each task was first developed by an individual or sub-committee and then brought back to the larger body for reaction. The meeting times of the commission were only general indications of the hours invested by its members. Interviews made it clear that this was an active and important period, when data were collected, interpreted, and distributed, and the strength and dedication of the group were tested. At this time the outcome of the study could be viewed as having true value not only to the commission members, but to the institution in general.

However, examination of the proceedings revealed some cautious acceptance of the motives (i.e., responsibility and control) for the self-study. The minutes for February 2, 1977, report the concern of the chairman:
... that the commission's work may well be pre-empted by day-to-day decisions now being made on an ad hoc basis in the hiring of new personnel, the admitting of increased numbers of students, and the initiation of new programs. Expressed were two areas of vital concern relating to the future of the institute, namely: student enrollment (size) and the role of graduate study and research.

In several interviews, commission members stressed their belief that it was important that they not be pre-empted in their deliberations. They urged that important institutional decisions be delayed or at least be consistent with the deliberations currently underway. They indicated in the interviews that strong group bonds had developed which caused them to be very protective of the report being created.

After having made a strong position statement on February 2, 1977, various members of the commission expressed concern that the minutes did not provide a sufficiently clear statement of the consensus of this body. It was agreed that the minutes of the February 2 meeting should read, "The commission recommends that the administration and the Board of Managers exercise restraint in making policy decisions of a far-reaching or long-term nature that might preclude or negate deliberation of the commission."

In examining the significance of these statements, it was noted that the people who consistently attended all meetings were the five faculty representatives, the two students, and the one administrative representative. The attendance of board members and alumni at the various meetings appeared
sporadic and inconsistent. The faculty voice was strong at the meetings of the group, as evidenced by their number and participation.

An interview with a top administrator not on the Self-Study Commission, elicited the statement that some middle managers, concerned about not being integrally involved with planning something they might be responsible for implementing, were becoming apathetic. Although middle management was being asked for information, their absence from the decision making process was noticeable. Among this group, the decision making process was perceived as controlled by the faculty. On the other hand, the faculty perceived the commission as doing its work very openly and even making the minutes and study materials public information through shelving in a reserved section in the library. They believed that anyone wishing to add information to the process could do so, therefore no concerns should exist as to what was being included in the planning scheme. Interviews with faculty members who were not directly involved with the commission, revealed that most had very little knowledge of the process or the final document. They generally indicated confidence in the commission and believed the members were doing an adequate job of representing them.

Further evidence of the importance of the motives (responsibility and control) issue indicated earlier were the minutes of the February 16 meeting, in which the
administrative representative reported on a meeting he had had with the president. Discussion at this meeting centered on the question of the possibility that day-to-day decisions by the administration would pre-empt the work of the commission. Specifically the president was asked whether "his strong position on the question of the size of the institute, research and graduate studies, and going coeducational would cause the recommendations of the commission, if they were to the contrary, to be ignored."

The president replied that:

1. Decisions on expenditures of capital funds for special facilities would be delayed until after receipt of the commission reports.

2. A decision about the ultimate size of the school would be similarly delayed.

3. Decisions involving hiring of new faculty and administrators would be reversible, since in general they would be hired without tenure.

4. Decisions of the Commission on Co-education would be made public to invite comments by the parties-at-interest before the October meeting of the Board of Managers. The chairman of the Commission on Co-education could be invited to talk to the LRP Commission.

5. Recommendation of the Self-Study Commission would be the blueprint for administrative decisions for the next three years, at which time another self-study commission
would be formed to re-evaluate the decisions of the first commission and to make further recommendations. The president noted, however, that details of the recommendations of the commission would not be inviolate.

The minutes indicated that the group was satisfied with these statements and proceeded with its work.

In discussing this issue with the president, it was made clear that the president was willing to abide by the final commission report; however, because of his administrative position he could view the final report only as recommendations from the commission. At least three items under his control were evident: (1) This was a self-study report to the president, not a policy statement; (2) his leadership style of openness would probably prevent matters from getting too far off balance; and (3) through his administrative representative, the president was always in touch with the commission and its progress. Furthermore, the president did not indicate any concern with the balance of representation among the commission members and had not been aware of the feelings of his administrative team. He expected the administration to cooperate fully with the commission and assumed each person had adequate opportunity to present his point of view. Assuming that the report would be accepted by the president and Board of Managers, the president believed implementation would easily follow through appropriate channels already established.

Three major sets of dynamics were in operation during
the months the commission was in effect. (1) The president established the commission and was comfortable with its make-up and progress; (2) the top administrative team, although supportive, did not believe the process was actively involving them; and (3) the further removed people were from the Self-Study Commission, the less knowledge and/or support of the commission's work was evident. These dynamics influenced the final acceptance and implementation of the report presented to the president.

Various interviews indicated that the further removed people were from the actual planning process the less they knew about or valued the contents of the document. This type of detachment was evident among administration, faculty, and board members. The group that actively participated in developing the self-study indicated high levels of knowledge relative to the content of the plan; all members offered positive comments about personal growth from the experience.

People less involved with the developing document made such responses as: "Most of the information presented was generally known and only served to document and validate the data for outside constituencies." Two top administrators expressed the belief that while long-range planning was necessary, "little new useful information was revealed." Other administrators indicated that the document "dealt with academic issues; however, not significantly with non-academic issues that also impact heavily on the programs and students."
Some interesting contradictions became evident, particularly between what individuals indicated was their knowledge base of the LRP and what evidence was present via the various documents the commission examined or developed.

Developing the Data

Primary source documents revealed extensive use of internal and external information bases. Specifically, questionnaires were developed that reached the majority of alumni, faculty, and students. The results were entered into the local computer for analysis. The faculty at large was asked to identify the major issues and/or concerns for Terry Institute during the projected ten year span, using the nominal group process. Further, each academic and administrative unit was asked to develop two scenarios, one projecting the institute as it exists in 1977, and the other projecting the institute with some changes. These were summarized by unit and presented for reaction to the departments. The commission then attempted to integrate this information into the larger collection of data being assembled. In questioning several department heads, it was revealed that the commission allowed each academic or administrative unit in the institution ample input into the process. In addition, several documents such as the Self-Study prepared for the 1972 North Central Association visit, the report of the 1973 Committee on the Philosophy of Terry
Institute, and the 1976 report of the Commission on Co-education, were studied.

Another significant outcome of the search for data was the development and implementation of a workshop titled "An Assessment of Engineering Education in the Next Decade." Twenty-four participants from industry and government attended the two-day workshop on campus. The activities were planned by the Center for Technology Assessment and Policy Studies as a means of providing input to the institute's Self-Study Commission. (This center was being directed by the administrative representative.) The primary purpose of the seminar was to use a systems approach to determine the nature and extent of the demand for scientists and engineers in 1987. The workshop/seminar activities were developed around a series of techniques intended to systematically probe the projected skills and characteristic requirements of industry and government. Among these techniques were the Delphi Poll, Nominal Group Process, informal discussion, Interdependence Theory (via computer model and cross-input investigations), and social judgement theory. The final report of the workshop documented the findings of the group and provided clear evidence that external parties-at-interest were able to help project the state of the institute in the future.

During March, April, and May 1977 the commission continued to meet at least once a week. Several members
indicated that although they were actively involved in the work of the commission, they were also expected to conduct their regular activities or "business as usual." In many cases, although they accepted the task as part of their faculty assignment, the work load was extensive. Two commission members indicated that some released time would have been useful. Everyone interviewed indicated that the support services provided were adequate and appropriate. During this time all data collected were being examined and debated. As the commission absorbed the mass of information, it began to focus on the specific goal statements by which it then could evaluate the data collected. After three meetings, the commission accepted the following goal statements as operationally appropriate for the institute:

1. To provide the finest undergraduate education in science and engineering and to graduate students who will be eagerly and competitively sought after by industry and graduate schools.

2. To provide the student with analytical tools, problem solving skills, and humanistic perspectives essential to successful careers not only in engineering and science, but also in other professions such as law, medicine, business administration, and public service.

3. To graduate students who are aware of the complexity and interdependency of technology and society and to encourage them to take positions of leadership in the societal problems.

4. To provide services to the community, state, and nation from the resources uniquely available to the institute.
It was then decided that a day-long meeting would help bring together the many diverse positions of the parties-at-interest and allow the commission to: (a) write any additional goal statements, (b) decide the boundary condition or working constraints of the study, and (c) begin consideration of specific strategies and tactics for achieving the desired goals. The minutes of the May 4 meeting recorded the following working constraints within which the deliberations on strategies and tactics should occur:

1. Total undergraduate enrollment will be limited to 1,200 students.

2. Graduate programs will be limited to the Master of Science degree level.

3. Graduate degrees will be offered only in academic areas where resources are available to offer programs consistent with the quality of undergraduate programs.

4. Total on-campus graduate enrollment will be limited to 60 students.

5. The value of specific graduate programs will be judged on the basis of the extent to which they support and enhance the undergraduate curricula.

6. The policy of attempting to meet, insofar as possible, the financial needs of academically qualified students will be maintained.

7. Funded research performed by the faculty will be consistent with the goals of the institute.

8. Undergraduate degree programs will be restricted to science, engineering, and closely related areas.

9. The institute will continue to exercise constraint in regard to the proliferation of courses and degree programs.
10. The institute will maintain a sound fiscal policy that meets the requirements of the school while maintaining a competitive edge with regard to educational costs.

11. The funds available for the operation of the institute will remain at a constant level in 1977 dollars during the next decade.

12. Additional financial resources will be required to support new programs, facilities, and their associated operational costs.

13. The monies currently owed to the endowment will be paid.

14. The total number of college-age students will decline over the next decade.

15. The demand for graduates from the institute will remain high over the next decade.

16. The operational costs of the institute measured in 1977 dollars will increase in the next decade.

17. Additional financial resources will be required to maintain the quality of existing programs and facilities.

18. The institute will need to maintain its current accreditations.

Analysis of the above constraints revealed that the commission identified five basic areas that were to be considered in formulating their recommendations. Three statements referred to demographics, five statements to curriculum, eight statements to resources, one statement to faculty development or direction, and one statement to societal needs. The statements reflected the four general goal statements and provided the framework for deciding on final recommendations.
The Report

During the May 16, and May 23, 1977 meetings of the commission, it was decided that two persons would be given the responsibility of pulling together the numerous reports and recommendations. These two individuals would be given stipends and would be expected to have a completed statement ready for review by the commission by September 15, 1977, the date set for the group to reconvene. The commission decided that the chairperson and the administrative representative would be the most appropriate persons to complete this task. It was further agreed that these individuals should be given considerable license in their summer work, but that they should expect detailed analysis and revision of their work when they submitted it to the commission as a whole.

The two selected members began assimilating the vast amount of data beginning early in June and continued writing through August 1977. Other members of the commission made themselves available to clarify certain points on their reports. This was the next most significant step, in that during this time the document would be formed and shaped. Now that all the data were in, it became the responsibility of the two writers to present the information in a way that could be understood and accepted by the total commission. In discussing this period with the writers, it was clear that they felt capable of writing with clarity; it was
important to them that the document reflect the ideas and
attitudes of the total commission. They spent more than
two weeks struggling with the format of the report, seeking
advice from a number of persons. Before long it was obvious
that some content decisions would have to be made and main-
tained throughout the period of writing.

Their report appeared in two parts: Volume I. Summary
Report, and Volume II. Supporting Documents. These volumes
were distributed to all members of the commission prior to
the first fall meeting of 1977, so that each member would
have ample time to read carefully and be prepared to make
suggestions for possible revisions. Study of Volume I
resulted in a large number of suggestions of a diverse na-
ture. Not all of the eighty-eight recommendations compiled
by the two writers were considered of equal importance to
the future of the institute. The commission agreed on a
priorities system which took the form of:

***Needed to maintain the present quality of programs
and facilities relative to changing external require-
ments.

** Desirable to upgrade programs and facilities.

* Desirable as time and money permit.

* Will be dictated by occurrences outside of institute
control.

While no individual on the commission would agree with
each assignment of priority, the decisions represented the
best judgement of the group.

The minutes of September 19, 1977 indicated that up to
this point decisions were made by consensus. During the final sessions relating to selection and prioritization, the majority vote prevailed. As might be expected, some friction was noted in the minutes, and was confirmed in individual interviews.

Along with the draft report of Volume I, each member was also presented with Volume II, which detailed recommendations, suggested some tactics, and listed all important source materials accumulated by the commission. Meetings during the remainder of September and October, 1977, were devoted to a page-by-page perusal, discussion, and correction of the draft copy of Volume I and II.

In order to provide the president and all parties-at-interest with a complete picture of this year-long process, it was decided that Volume III would include all materials collected by the commission. These appendixes would provide those interested with information on which to base more accurate judgements of the validity of the recommendations.

The Self-Study Commission was officially dissolved upon presentation of the three documents to the president of Terry Institute on November 7, 1977. At this time the president acknowledged the fine work and dedication of the group, and expressed his thanks for a job well done. He indicated that Volume I of the report would be distributed to the faculty at their November 8 meeting. The members
of the commission were requested to be present to answer any questions about the report. Volume II and III were to be made available through the library for anyone interested in additional information.

Conclusions

In 1979, almost two years after the self-study document was accepted by the Board of Trustees, few people, except the president and those directly involved in its creation, could accurately describe its contents.

All the individuals interviewed reviewed the document prior to participation in this research. Even though all had received copies of Volumes I and II, they indicated that they themselves had made little use of the report, and they wondered what—if anything—would be done with it.

Nevertheless, both the acceptance of the document and changes in the institution after the formal presentation of the self-study indicate some institutional movement, particularly in the three areas identified in the original questions of this study: curriculum, staff development, and fund raising.

In February 1978, the Board of Managers formally adopted the Self-Study Report as a general guideline for the operation of the institute during the next decade. As a direct result of this adoption, the board contracted with an architectural firm to develop a master plan for improved facilities. This plan was compiled and submitted to the
Board of Trustees. The Vice-President for Development then began organization of a major capital fund campaign scheduled to begin during the fall of 1979. This campaign was projected to raise from ten to fifteen million dollars to implement the many changes identified in the master plan.

The Vice-President for Academic Affairs indicated that, through the various division chairmen and their respective faculties, major curriculum planning had been underway since the fall of 1978. He anticipated a major thrust in this process to begin in the fall of 1979. Much of the faculty concern in conjunction with the deliberations about curriculum centered on their own ability to continue professional growth. A final curriculum revision document would become available for review in early 1980.

Individual faculty perceptions frequently differ from the administrative reality of implementing an LRP. The final Self-Study Report must be viewed as recommendations to the president rather than a mandate to be carried out. The Board of Managers has the final legal responsibility for the institute and must exercise this power through its chief administrative officer. The president, in turn, must depend on his administrative staff to assist in this task. The prime responsibility of the faculty remains with developing the curriculum and the educational programs of the school.

Faculty perceptions about the significance of the planning being done often dictated the extent of their
involvement. In addition, if faculty members perceived themselves as having no power, they sometimes involved themselves minimally. It was particularly interesting to note that the greater the identification with the process, the more significant was the understanding of the end product.

Although many ideas are generated through student and faculty counsel, it is the role of the administration to synthesize, expand, and implement these ideas. Long range planning is a complex process that must be understood clearly by the president as well as by administration and faculty. Throughout the interviews, it was apparent that the president's messages were not always interpreted as he had intended, and that he was not always aware of this circumstance.

Finally, most of the members of the commission interviewed could list the procedural steps followed throughout the year's work. However, only one person seemed to be able to articulate clearly the reasons that certain factors, such as committee membership, communication, group identity, and group dynamics, seemed to affect the making of decisions.

Roscoe Community College--Case Study II
Institutional Profile

Introduction

Roscoe Community College provides both academic and vocational education to citizens located within a four county area. In addition to specific training programs that
encourage high school drop-outs to complete a pre-college education, adult education courses are offered. Students who complete the academic curricula may apply for transfer to four year colleges. The vocational curricula train students to fill jobs in industry and to help each individual develop natural skills that will prepare them to participate more effectively in society.

**Historical Perspective**

Roscoe Community College was created by a vote of the electorate of the four counties located in the northeast part of the state on March 7, 1966. This vote culminated two years of investigation and planning by a Citizens' Advisory Committee formed to address the concerns of meeting high school and post-high school educational needs in the area.

The period from May 1966 to May 1967 was devoted to planning and organizing the new college. The administrative structure became a reality when the president was hired in May 1967. The president immediately increased his staff to include a Dean of Business Affairs, Dean of Students, Dean of Occupational Studies, Dean of Academic Studies, Administrative Assistant, and a Director of the Library. During the following year, prior to the opening of classes for the 1968-69 academic year, eleven full-time faculty members were hired.

In the late spring of 1967, an architectural firm was retained to begin working with the college staff on plans
for immediate building needs in addition to a long range developmental plan. The final plan reflected a concern for optimum use of the beautiful 160 acre college site and still provided flexibility to permit changes in function of particular facilities as the college developed.

The community college programs began in the fall term, 1968, with 160 students, eleven full-time faculty, seven administrators, and six temporary relocatable building units.

Program Emphasis

Roscoe was created on the basis of the state's area program concept. The program emphasized organization and cooperation within defined geographical settings to best utilize available outside services and to develop and utilize the resources and potential within the area. The area concept builds upon the concept that all individuals should have easy access to educational programs directed to each person's occupational preparation needs, abilities, and interests. The area program provided for:

(1) a broader tax base distributed over a larger population than is normally present in a single school district;
(2) prevention of unnecessary duplication of equipment, services, and costs which might occur if two or more neighboring districts elected to offer identical or similar training programs;
(3) a broader range of curriculum offerings and, therefore, a more extensive program of occupational training opportunities;
(4) training opportunities to a larger number of persons than is possible in smaller schools serving single communities;
(5) the best means through which single school districts lacking adequate financial resources and/or students can provide appropriate educational opportunities to
enable all youth and adults to develop and maintain satisfactory occupational competence.

The educational commitment of Roscoe Community College is to provide a wide range of educational experiences for all segments of the college's constituency. This broad aim has been translated into specific objectives through the educational leadership of the school, the articulation of needs by the community, and the direction set by the state. The community's role in determining the college objectives was originally assumed by the four-county citizens' advisory committee mentioned earlier. This function has been taken over by a system of citizens' advisory committees. College leadership in developing objectives has been provided by the administration, faculty, students, and the Board of Trustees.

While both the college and community have been instrumental in establishing major educational aims, the state had previously established a strong vocational orientation. A position paper developed by the State Department of Education and approved by the governor in 1966, strongly influenced the programs of the college. This law outlined the following functions of a community college:

1. A community college means an educational institution providing primarily for all persons above the twelfth grade age level and within commuting distance, collegiate and non-collegiate level education including area vocational-technical education programs which may result in the granting of diplomas and certificates including associate degrees but not including baccalaureate or higher degrees.
2. An area vocational-education program means a program of organized systematic instruction designed to prepare the following individuals for useful employment in recognized occupations: (a) Persons who have completed or left high school and who are available for full-time study in preparation for entering the labor market. (b) Persons who have already entered the labor market and who need training to achieve stability or advancement in employment. (c) Persons enrolled in high school.

3. When programs or courses are provided for persons enrolled in high school, the provision of the programs or courses shall be requested for each of the individuals by the superintendent, or by his designated representative, of the school district in which the person is enrolled.

4. The word "area" in the phrase "area vocational-technical education programs," refers to the geographical territory of the district, and whatever territory without the district as is designated as the service area of the district by the state board of education. A community college is eligible to receive such state aid and assistance as may be appropriated by the legislature for the aid and support of junior colleges or community colleges.

The combined efforts of the college, the community, and the state resulted in the following five objectives:

1. An opportunity for students to gain the knowledge and skills necessary to become more productive members of our modern technological society through a program of general education.

2. An opportunity for students to complete the first two years of liberal arts and pre-professional curricula so that they may transfer to a four-year institution to complete their education.

3. An opportunity for students to acquire marketable skills by completing one or two year courses of study in various occupational-technical programs.

4. An opportunity for adults to complete or further their education, particularly through the college's evening programs, many of which are designed to enable interested students to expand their present skills or receive training in new skills.

5. An opportunity for all citizens to participate in community and cultural affairs by making the college the
center for such activities as lectures, forums, conferences, theatrical performances, concerts, art exhibits, and other activities.

The College Setting

The college district is located in the rural part of this mid-western state. This area is heavily wooded and dotted with many lakes and streams. These features make the area suitable for recreation and forestry, but unsuitable for agriculture. Roscoe Community College is situated on a 160 acre site within a national forest. The land area the college district serves is approximately 2,500 square miles.

Because of the great distances between colleges in this part of the state, commuting is difficult for a large segment of the population. Therefore, Roscoe operates two off-campus centers, each located about sixty-five miles from the main campus. Each satellite center is managed by a local citizen who acts as a part-time coordinator.

Facilities

The main campus consists of five major building complexes. The campus center complex has an area of 13,165 square feet. It contains a commuter lounge, game rooms, a student lounge, a canteen, and a bookstore. In addition to these recreation facilities it also houses a print shop, storage rooms, and three classrooms. The academic building has an area of 16,162 square feet, used for five all purpose classrooms, laboratories, faculty, and career advisors'
offices. The occupational education building houses seven vocational-technical laboratories plus an 845 seat auditorium. The interim building complex consists of five portable buildings, each approximately 600 square feet in area. Two of these buildings serve as the cafeteria and dining area, while others serve as a classroom and business affairs offices. The learning materials complex contains the library and the administrative offices of the college.

Student housing consists of an apartment complex which is located within a five minute walk of the main campus. Space is available for ninety students in dormitory-like rooms with kitchen and laundry facilities. Other housing in the form of trailers and duplexes is located a short distance from campus. There are also many homes and apartments available for renting throughout the district. The college's only involvement in housing is to provide a list of available housing accommodations to prospective students.

Demographic Influences

The population of the community college district has increased at a rate twice that of the state. However, this increase did not result in a comparable increase in high school enrollments because of the advanced age of the new residents. The percentage of people over the age of sixty-five in the area served by Roscoe is twice as large as the state's percentage.

The mean per capita personal income in the four-county
community college district is approximately one-half that of the state and the United States. This was caused in part by the lack of high-paying manufacturing jobs and by the fact that a high percentage of people work in the relatively low-paying service occupations serving the area tourist business. Another factor contributing to the low per capita income in the area is the large number of people over sixty-five who are retired and live on a fixed income.

Students

The typical student at Roscoe Community College is likely to be a white male high school graduate who is twenty-eight years old. While taking almost a full course load, he is working and is probably receiving some type of financial assistance. Although he resides in the district, he must drive at least twenty-two miles every day in order to attend class. He is attending this college to improve his employment prospects and will probably not continue his education at a four year college.

A random sample of seventy-nine high school transcripts of the class of 1976 revealed that the majority of the students were drawn from the middle and lower rank of their graduating class. The current enrollment of 984 full time students reflects approximately the same levels of achievement. Roscoe admits all applicants eighteen years of age or older, regardless of whether they have an earned high school diploma. As a result of this "open door" policy, the
Faculty

The full-time faculty at Roscoe Community College consists of twenty-three instructors. Eight of these instructors teach only academic courses, while the other fifteen teach in both the academic and vocational areas or exclusively in the vocational programs. Of the eight instructors in the academic area, seven have Master's degrees and one has a Ph.D. Seven vocational instructors have Master's degrees, three have bachelor's degrees, three are licensed to teach Cosmetology, one teacher has a Registered Nursing degree, and one is licensed to teach aircraft maintenance. Fifteen of the twenty-three full-time faculty members teach all of their courses in their major field, while the remainder teach at least 60 percent of their courses in their major area. Although the faculty does not hold a large proportion of advanced degrees beyond the M.A., their on-the-job vocational experiences qualify them as experts in their field.

The full-time faculty accounts for almost 70 percent of the generated student credit hours. However, because of an increasing demand for off-campus and evening classes, this percentage is decreasing yearly.

In order to appropriately provide effective channels of communication with the administration, faculty members
organized the Faculty Association. The association concerns itself with academic programs of the college, faculty standards and welfare, and has been recognized by the Board of Trustees as the sole collective bargaining agent for all full-time instructors. In addition to the faculty, support staff such as secretaries, clerks, and custodians are encouraged by the president to participate in institutional governance. Faculty and support personnel have participated on standing committees, North Central committees, and numerous ad hoc committees or task forces.

Each instructor has been responsible for keeping current in his field, although little institutional support for this endeavor could be identified. The majority of the professional staff continue to participate in their vocational trades through contact with local business and/or industry. Many instructors contribute to local knowledge by involving themselves with local businesses; however, significant professional writing or scholarly research was not a requirement for membership in the academic community.

Administration

The Board of Trustees by law has the power to manage and direct all operations of the college. Board members are elected on staggered terms for six-year periods. The number of trustees is fixed at seven by state law. Whenever a vacancy occurs, the remaining members of the board fill the vacancy by appointing a qualified successor. The board was
comprised of a school counselor, two medical doctors, an accountant, a social worker, an elementary school teacher, and an industrial consultant. Of the seven members in this group, six were male and one was female.

Following the initial administrative organization, a new Board of Trustees was formed as a result of recommendations made by the Roscoe Community College Committee to Study Administrative Reorganization and has remained essentially the same. The administrative staff is headed by the president of the college, who is appointed by the board. The president utilizes as his primary team a Dean of Instruction and a Dean of Business Affairs. The Dean of Instruction appoints, subject to the final approval of the president, a Director of the Library, Director of Student and Community Services, and a Director of Admissions. The Dean of Business Affairs conducts the fiscal and physical plant affairs of the college through a Director of Budget and Finance and a Director of Plant and Operations.

The administration of the college is augmented by a system of college standing committees and the faculty association. The standing committees are: (1) Curriculum and Instruction, (2) Human Resources, (3) Library and Instructional Resources, (4) Student Services, (5) History, Philosophy and Objectives, and (6) Physical and Financial Resources. The committees serve in an advisory capacity by making recommendations to an Administrative Advisory Council, which
in turn advises the president. Each standing committee consists of representatives from the administration, faculty, student body, and support staff. The Administrative Advisory Council is composed of the administrative officers previously mentioned, a faculty representative, and the president of the Student Senate. In addition to the above channels, students and faculty are allowed participation in institutional governance as a result of the board's providing a vote at all regular board meetings for the President of the Faculty Association and the President of the Student Senate.

Financial Resources

The three major sources of revenue for the college are state aid, local taxes, and student tuition and fees. Other sources of revenue are derived from a variety of federal grants and miscellaneous sources.

As a direct result of increased enrollment, Roscoe increased the amount of available state aid by 49 percent within the period, 1971 to 1974. Although this was a spectacular rise in revenue, the administration expected a leveling off of enrollment and concomitant state aid. Over this same period, local tax support increased by about 30 percent. However, after 1975 the overall contribution began a steady decrease because of increased budget expenditures. Because the state equalized valuation of the college district will not increase at the same rate that the budget will grow, it is anticipated that the percentage of revenue from taxes
will continue to decline. While tuition fees remain at the same level, income from tuition may increase or decrease as student enrollments fluctuate.

Since the college is still relatively young and enrollments continue to rise, its financial situation seemed adequate, particularly as it relates to bonded indebtedness and bonding capabilities. However, it was revealed by the financial officer that future bond issues would require a detailed and well-researched educational plan that would be acceptable on local, state, and federal levels. The administration and the Board of Trustees identified future fiscal needs as a top priority to be carefully studied by the long range planning committee.

The Planning Climate

Roscoe Community College evolved through three presidential changes and major student population growth during the period 1968 to 1976. The college, accredited by the North Central Association of Colleges and Schools in 1966, was due to be revisited by North Central for its regular ten year review in January 1976. Faculty generally considered the coming years as a maturation period for the college, and were beginning to articulate their concerns through the Faculty Association.

The third president exercised considerable leadership during the first four years of his tenure. His leadership was evident in further refinement of the administrative
structure, additions to the faculty and administration, and increase in the total student enrollment by 100 percent. The president faced demands by students and faculty with strength, and attempted to communicate their expressed needs to the board. Students were focusing on student rights and the curriculum, while faculty were pressing for more adequate salary, welfare benefits, and an educational plan that went beyond the current academic year and their immediate areas of expertise.

The Board of Trustees was somewhat transitional in that its membership had evolved from the original group that organized the college plan to a newly elected membership who were attempting to be even more responsive to community interests. The original board was comprised of lay persons who were not necessarily sympathetic to the faculty approach to establishing curriculum and administrative control. This board believed in the business model of organization and implementation rather than in the process orientation of the academic world. Faculty typically wanted more input and control than the original board was willing to relinquish.

The new board members, while more responsive to community interests, were also determined to exercise their authority in establishing future programs of the college. This determination placed the president in a delicate situation in that he represented the board but needed the faculty to develop and implement the education programs. The
forthcoming accreditation visit by North Central required the faculty to be significantly involved in a self-study and to be looking toward the future in some organized manner.

To further complicate matters, a significant competitive climate evolved between two local newspapers. Editors of both papers were attempting to increase readership interest in their publications and needed important community issues to debate. Some of the board members took this opportunity to air their opinions publicly. Each time a particular point of view surfaced, the president was asked to state his position. This public forum caused a constant problem because of the three separate interests which were always being debated: (a) management and control issues as represented by different factions of the board, (b) academic and faculty welfare issues as represented by the faculty leadership, and (c) the effectiveness of the management team in relationship to the public interests as represented by the editors of the two competing newspapers. The year 1976 was crucial to the decision to develop a long range plan. The president saw clearly that without some comprehensive and supportable document it would be difficult to collect the diverse points of view along a single unified direction.

Another influence on the total planning climate arose from the need to demonstrate the ultimate effectiveness and direction of Roscoe Community College to the North Central Association of Colleges and Schools. The college had been
functioning for almost ten years and needed to demonstrate its viability as compared to other institutions of a similar nature. The institutional self-study was required to describe the college and to identify its strengths and weaknesses. The review was accomplished by other professionals outside the immediate interests and area of the school.

The president was certain that it was necessary to unify the many diverse opinions into one collective direction. His points of control were the faculty and the administrative team. His influence needed to be directed toward the Board of Trustees, the press, and the community. In the next several months the president developed a strategy to move on all fronts. At the same time he exerted considerable energy to provide accurate information on the issues for the community newspaper editors and to involve them in seeking resolution to the issues rather than simply reporting conflicts. The editors could see themselves as not only being conduits for public opinion, but as contributors to progress. Each editor was willing to invest his time and expertise into seeking the resolution of the major issues, which proved to have positive results.

Another important decision by the president that helped to unify the board, administration, and faculty was the initiation of the committee organization for developing the self-study. This organizational structure involved all aspects of the college community.
The Self-Study Steering Committee paralleled the organization of the college standing committees. Each standing committee consisted of representatives from the faculty, administration, support staff, and student body. These committees were charged with gathering and organizing data, identifying areas of strength, and describing solutions to previously identified areas of weakness. The Steering Committee included a chairman, two coordinators, and the elected chairmen from each of the committees preparing for the North Central visit. This group directed and coordinated the activities of the other committees. After the various committees completed their reports, the coordinators and the chairman of the Self-Study Committee condensed the resulting information and conclusions into a coherent narrative.

The final analysis of this document was completed by a group designated as the North Central Study Committee. This body consisted of the members of the Steering Committee, the three members of the Board of Trustees, three instructors, three students, two members of the support staff, and the president, for a total of twenty-one members. The purpose of the study group was to provide a necessary continuity for the broader participation from the various segments of the college. This study committee defined its role so that its findings would be seen as widely accepted recommendations. However, it was realized that in order for these recommendations to be translated into action, they would first
have to go through established channels. The group agreed upon the following primary objectives:

1. To draw meaningful conclusions about the college that would be incorporated in the self-study.
2. To identify unresolved areas of concern that are major obstacles to the college's achievement of its objectives.
3. To determine the causes of these concerns.
4. To recommend, where possible, solutions to these problems.

The Planning Process

The Study Committee believed it would be most effective if it addressed itself to four or five fundamental areas of concern, rather than briefly touch upon a more comprehensive list of problems. Therefore, the coordinators presented the committee members with a list of concerns and encouraged them to arrive at a consensus on those problems which members viewed as most significant. The problems were organized into two major categories: the first, concrete:

(a) problems requiring money, and/or physical additions, and/or additional personnel; (b) problems requiring changing or adding procedures; and the second, abstract:

(a) problems associated with curriculum and instruction; (b) problems related to committee structure, institutional governance, and institutional evaluation; (c) problems dealing with human relations.

Designating areas of concern as concrete and abstract
provided a useful distinction for the committee. It clarified the fact that certain concerns, those labeled concrete, involved relatively simple housekeeping problems whose solutions, in most cases, were obvious and uncomplicated. In contrast, those problems categorized as abstract usually involved questions of the college's values, objectives, and priorities. They were therefore fundamental problems, requiring immediate attention. The solutions to these problems were likely to be complex and controversial.

Of the items of concern in the abstract category, six were selected by the Study Committee as being basic obstacles to pursuing the college's mission. The six items were: (1) operation of college standing committees, (2) remedial curriculum and placement, (3) college relations with the community, (4) long range educational plan, (5) institutional research, and (6) financial outlook.

The last three items formed the basis for the Roscoe Community College long range planning commitment. The Self-Study Committee believed that the financial situation of the college was satisfactory; however, any future bonding capabilities would depend heavily on a detailed and well researched educational plan that would be acceptable at the local, state, and federal levels. The Self-Study Committee recommended that the president appoint a LRP Committee consisting of representatives of administration, faculty, students, and community leaders, including retirees and area
secondary school educators. Such consultants and resource persons as might be necessary should be appointed by the Board of Trustees to assist the LRP Committee in developing appropriate long-range educational plans. The task of the LRP Committee was to include: (1) identification of the community or service area and the specific educational needs and preferences to be served by the college, (2) prediction of the number and character of the individuals to be served during the period for which the plan was prepared, (3) identification of feasible alternatives for serving individuals, (4) analysis of benefits, (5) analysis of costs, (6) analysis of equity or access, and (7) consideration and recommendation of alternatives to the Board of Trustees.

Committee Selection

The president appointed a Long Range Planning Task Force shortly after the recommendations of the Self-Study Committee were officially received in October 1975. He involved the Board of Trustees in the decision so that this group would have an equal investment in the project. It was decided in late November 1975 that the task force would consist of one board member, the Dean of Instruction, a member of the business office, and four faculty members. This group would be responsible for assembling all the data and making appropriate recommendations to the Board of Trustees via the president of the college.
The task force was charged with facilitating the process of LRP. It was expected to develop the procedures by which the entire college community could participate. The long range plan was to be completed prior to the November 1976 meeting of the Board of Trustees.

As indicated earlier, the institutional climate at Roscoe Community College was somewhat strained, and many forces were affecting the educational programs and the ability of the administration to implement these programs. The president felt compelled to follow the recommendations of the Self-Study Committee, but was uncertain as to the benefits of completing a long range plan and whether it would be consistent with his view of the institution. It must be noted that the president responsible for the long range plan used in this case study was not in office during the period of this research. The person who had been his administrative assistant and was now president subsequently provided much of the insight reported in this section.

The president retained ultimate control over the appointments to the task force. During discussions (with individuals who were not directly involved with this committee but were aware of the internal structure), it was revealed that the composition of the task force included a board representative (who had only recently been appointed to the board), and a clerk in the accounting office (who was temporarily acting as Director of Finance and Budget). The
four faculty representatives included the Director of Libraries (a full-time faculty member nearing retirement), one part-time and one full-time faculty member from the academic program, and one part-time faculty member from the vocational program (nearing retirement), and a well-established Dean of Instruction (considered faculty) with a strong leadership style.

Initiating the Process

The Long Range Planning Task Force held its first official meeting on January 12, 1975. The president assured the group of his full support. The task force was to investigate and report the findings of the faculty to him before November 1976. He conveyed the board's interest in the results and said they would carefully evaluate the recommendations and attempt to implement those items that were consistent with the mission of the college. The task force would be free to develop whatever procedures it deemed necessary to carry out its established function. The president stated that following the initial meeting he would immediately communicate to the college community that the group was operational and that each area of the college should extend its fullest cooperation. He further indicated that if outside assistance were needed he would consider each request based on its merit, the necessary resources, and the availability of these resources. The president then announced his appointment of the task force. The task force was instructed
to receive information through the college standing committees, who in turn would gather information from their official group meetings and normal interaction. In addition, information was to be sought from the Faculty Association and the Student Senate.

Following the appointment of the task force, the president communicated with the group primarily through the Dean of Instruction. He believed that his direct and intensive involvement with the planning procedure might be interpreted as an attempt to influence the process and final outcome. His administrative assistant was instructed to keep well informed and to be available on call from either the president or the Dean of Instruction.

It was clear that neither the Board of Trustees nor the president believed it was necessary for the college to have a specially trained team of personnel to develop a long range plan. Although resources could have been made available, neither the task force nor the administration wished to develop or investigate means by which they could obtain training in new techniques of future planning. Each person interviewed indicated a strong belief in the need for examining requirements for the future and affirmed commitment to developing an educational plan. When reminded that some educators have devoted their professional careers to future planning, several persons expressed some doubt as to their ability to predict future events, but were at a loss as to
how outside consultants could be used effectively. Individual faculty members indicated less confidence about their institutional planning competencies than did administrators or board members. In all cases, the task force members believed it was more appropriate to proceed with developing the plan through people from the college community than through outside groups. It was clear that each person believed that as a result of involvement in this committee, he or she would be more aware of the college as it existed and what its future needs would be. Although many hours would be devoted to creating an LRP document, all members of the task force verified the value of the project and committed themselves to fulfilling the charge from the president.

Planning Procedures

Three meetings were held during January and February 1976 to identify more clearly the procedure to be followed in gathering appropriate data for the task ahead. The group first discussed each member's individual expertise and philosophical position as it related to Roscoe Community College. The minutes recorded that little actual business was transacted, but did indicate some uncertainty as to how to proceed. The chairman on several occasions proposed specific procedures. The first official action was recorded on March 2, 1976, which reflected the need of members to
interact among themselves. At this time the Long Range Planning Task Force agreed to forward a memo to the college's Standing Committees, the Faculty Association, and the Student Senate requesting the preparation of mission statements relating to various aspects of the college function. The memo requested that each standing committee chairperson identify a date, time, and location for their initial meeting so that a member of the task force could be present to provide information and assistance as needed. These meetings occurred during the month of March and served to solidify the task force around its function.

It soon became obvious that each standing committee had a different way of accomplishing its task. The committee members realized that if they were to synthesize the collective college opinion they would need an organized and consistent means of gathering data. Each standing committee required several weeks to develop a statement relating to institutional nature and purpose. Their interaction helped generate interest about the mission of the school and provided a common basis from which all constituencies could contribute to the overall goal of long range planning. The task force members reported the necessity of this involvement and the realization that it would be important at some point to collect the statements in whatever form the standing committees were able to present them. The last mission
statement from the Financial and Physical Facilities Committee was submitted on April 26, 1976.

This two-month period allowed the task force to observe a variety of interactions which helped members realize that they had underestimated the size of the task ahead. Several interviews with individual members confirmed that this period proved to be one of the most difficult in the total planning process.

Numerous attempts were made by the group to come to a consensus about the most appropriate way to continue the work of the task force. It was decided to adopt the instructional mission of the college as a point of departure from which all other mission statements could flow. The following items were adopted by the task force as a basis for the educational plan:

1. To provide substantial and effective higher education opportunities for residents of the college district at a minimum cost.

2. To provide an atmosphere for students' optimism as they critically examine the values and relationships of the civic, moral, cultural, spiritual, and the general welfare of mankind.

3. To stimulate curiosity, broaden perspectives, discipline habits of thought, and help the students realize their potential.

4. To recognize individual differences in ability, aptitudes, and interests by adjusting the curriculum and teaching methods to provide for compensatory education.

5. To provide for the understanding of American democracy and our historical heritage and the citizens' role in maintaining the strength and vitality of the democracy.
6. To provide opportunities for all students to become effective and efficient in oral and written communications.

7. To provide opportunities for all students to become effective and efficient in mathematics.

8. To expand the cultural horizons of the students and to develop an appreciation of the good and the beautiful through the support of fine arts in the educational process and in social activities.

9. To provide for college level educational opportunities in the physical and social sciences and the humanities.

10. To provide a flexibility and willingness to change the college missions, and for the revitalization of the curriculum, faculty, and administration through periodical assessment and reassessment by representatives of all segments of the college and soliciting the advice, understanding, and support of all citizens of the college district and the college alumni.

11. To provide college level occupationally related educational programs in health, business, industrial technologies, and public service with emphasis on training in the most modern skills and concepts applicable and for immediate employment upon graduation.

12. To provide for a program of adult and continuing education through evening classes, off-campus activities and apprentice training that will sustain a high degree of excellence and leadership in business, industry, and the professions; citizenship; general education; as well as a successful, meaningful, and satisfactory personal life.

13. To provide on-campus high school vocational education opportunities for students attending the six high schools in the college district.

14. To provide services to local and state government institutions, community groups and businesses, where college personnel, programs, data, or departments are particularly adaptable to a need that cannot be filled by the public or private sector.
15. To provide special programs or seminars in response to the needs of the community, service organizations, business groups, trade, or professional organizations.

16. To make available college facilities (at such times not required for the instruction program) for community use.

17. To provide for student access to community, state, and national resources for the expansion of educational opportunities through cooperative training programs, internships, and visiting lecturers.

18. To provide for the supplementation of educational opportunities and for the acceleration of the individual's training program by providing qualified students with access to opportunities for advance standing, credit by examinations, correspondence, or extension courses through the college or an affiliation with or the cooperation of other colleges and the early entry of high school students with the permission of the high school principal.

19. To provide a library with a collection of books, periodicals, films, and recordings with the equipment and facilities necessary for and accessible to the students, faculty, and community for scholarly study and research.

Collecting the Data

The Long Range Planning Task Force spent the next three meetings in May 1976, bringing the various mission statements together under the banner of the overall purpose of the college. Although the discussions in each standing committee were constructive, the diversity and differences of opinion indicated a need to establish a more efficient and effective means to proceed. The task force, in asking for administrative assistance, noted several specific problems that contributed to the slow progress of each standing
committee. These problems were: (1) The absence of a written procedure that clearly stated the responsibility of the particular committee; (2) the tendency for important items, once they had been introduced in a standing committee, to undergo unacceptable delays; (3) poor participation on the part of some committee members, causing the groups to meet too infrequently to be effective; (4) lack of coordination of the various standing committees. Since most proposals eventually involved work by more than one committee, this lack of coordination was deemed a very serious weakness.

The length of time necessary to identify and clarify this procedural item had not been anticipated by the task force. However, it was important to resolve this issue because the long range planning could not progress satisfactorily if the information flow was inadequate or ineffective. Since the president had established the data gathering mechanism, the task force indicated the need to correct what it perceived as a road block to the successful completion of the project. Dialog between the president and the task force resulted in two specific actions noted in the minutes for May 17, 1976:

1. The president reaffirmed the importance of the standing committees and indicated that the Administrative Advisory Council would assume responsibility for coordinating the efforts of the standing committees. He further stated
that the council would help develop written procedures to be distributed to both staff and students. The document would establish specific committee responsibilities and prescribe deadlines for committee action. The council would also develop a routing form to help follow the progress of a proposal through the various committees.

2. The Long Range Planning Task Force would develop a standardized form designed to solicit information relative to the basic components of any college plan.

Another important decision was to involve each standing committee in this data gathering process, and specifically to identify each person who ultimately would become responsible for implementing the specific goal or objective. Time now became an issue because the president required the report in November 1976, which meant that the data should be in by no later than July 30, 1976, to allow for proper development and integration of the expected material.

The last two weeks in May required approximately thirty hours of involvement for each task force member. However, by May 28, information gathering forms were sent to the chairpersons of the six standing committees, requiring distribution to the appropriate persons within their respective responsibility areas. The individual task force members then made themselves available to each committee to provide clarification and consistency. The deadline for returning these data sheets was established as July 30, 1976. Each
standing committee was given the freedom to establish its own process for data collection.

The data gathering form requested that each constituency respond to all items identified. Faculty members within each responsibility area could develop as many goals as they believed important, providing that these goals were projected over a minimum of five years.

**Constraints and Limitations**

During this two-month period several objections were noted by the planners, and were shared with the various standing committees:

1. Many individuals felt confident to project within a one to two year period.

2. Most projections reflected immediate concerns rather than future oriented needs.

3. Some ambivalence was expressed because of uncertainties about financial support available or the response of the state legislature to a truly creative long range plan.

4. Some persons expressed the belief that many of the goals for the future were established by the community and the state government and that it was generally impossible to predict the direction these agencies would take.

5. Administrators and faculty often indicated they were not adequately in control of their own professional
destiny within the college and therefore were merely engaging in an exercise.

Several faculty members who were not members of the task force indicated a sincere desire to complete their part of the long range plan; however, they felt unable to see how these plans could be adequately developed without the support and input of the state governing body. The task force devoted several meetings to these and other concerns, and concluded that they would proceed with the long range planning with full understanding of the constraints and limitations that were present. All members reaffirmed that it was important to develop this statement in spite of the identified issues.

The task force members were now into the summer vacation period, and it was becoming increasingly difficult to meet as a group. It was decided by the task force that the chairman should devote full time to gathering the individual forms and would begin the process of articulating the contents through the person responsible for originating the plan. The chairman was then to establish a reporting format and begin integrating the various pieces of information into a logical document that could be examined by all members of the task force during the fall term. Several members volunteered to make themselves available over the summer, if the chairman needed assistance.

It was difficult to gather data relating to the actual
process utilized in developing the reports for the task force. Most standing committees either lost, destroyed, or did not keep accurate minutes of their proceedings during June or July 1976. However, during several interviews with members or chairpersons of each of the six standing committees, it was revealed that for the collection of the data, it was necessary to rely heavily upon the individuals within the group. No one could recall using any specific or unusual techniques to help the committee extend or extrapolate new information or direction from the data available. When asked to describe how future projections were made, the typical response was that it was clear what the institution needed, and therefore these needs could simply be put on paper.

While each standing committee was gathering data and responding to the standardized form presented, individual task force members circulated among the various groups. This process allowed the planning team a clearer sense of the overall college needs and allowed the planners to have a better institutional perspective.

Because each standing committee was working independently of the others, the planning team became their only link. The team therefore articulated the important connecting themes to the committees, the administration, and the students. This action further helped the task force clarify the overall scope of the planning effort.
The planning team continued to meet about every two weeks to share with each other information on the various committee activities. Whenever shortcomings in the information gathering process of a particular group could be articulated, the team developed strategies for improving these procedures and offered their suggestions at the next meeting of the committee.

The Long Range Planning Task Force Chairman received the bulk of the data by the end of July and, with help from one other team member, began the process of collating the information into a coherent report.

During the time the June and July meetings were being held, the planning team identified its strategy for developing the final report. All members of the task force, in retrospect, indicated that they had little or no idea of what the final report would look like when they were initially invited to participate on their committee. They indicated that this seemed reasonable to them at the time, but also that they felt very uncomfortable when by the end of June the format for the report was still not clear. Two members of the team indicated that they had been unfamiliar in the long range plan process initially. However, as the months progressed, they gained much new information.

During August and September 1976 the chairman of the long range planning task force assembled the available information into a document that reflected the institutional
view of what was to occur during the next five years. He periodically communicated with other task force members and reported progress to the president. The chairman believed his function to be that of a conduit between faculty and administration to the chief administrative officer. As the document evolved, its significance in terms of influence became more apparent. The chairman and president recognized their effort as the first time the total college community had had an opportunity to establish a statement that could be used to exert significant influence on the direction of the institution. The chairman indicated the political importance of the document in several areas:

1. The North Central Association of Colleges and Schools wanted to know what the college intended for the next five to ten years.

2. The Board of Trustees and the president might feel bound to implement the items identified in the written report.

3. The faculty and administration would support the overall document, provided the budget furnished them with the necessary items for their programs.

4. Acceptance of the plan would provide needed support and documentation for more effectively meeting the needs of the student population.

5. An overall portrait of the institution would help focus where major energies and funds would be needed in the near future.
These insights motivated an even more intense effort to create a document that could serve the many interest groups of Roscoe Community College. Although the long range plan appeared to have even greater importance than when initiated, there was no evidence that the task force itself discussed or was collectively aware of the potential impact of the document.

The Report

Because the data being submitted were in a standardized form, the task became primarily an editorial one. Initially some time was spent deciding what was to be added to the content and then how to integrate overlapping elements. Another important consideration of the planning team was the need to develop a long range planning manual that would be useful in the day-to-day operation of the college. Also considered was the need to develop a manual that could be easily and continually evaluated and updated. As a result of task force concern, a section called "Tools to Aid Planning" was included in the final document. This section provided such necessary information as a site plan, scaled floor plans of every major college building, and a chart of college personnel areas of responsibility. It was further decided that revision of the long range planning manual would also contain architects' pictorial renderings and floor plans of existing buildings, additional structures, statistical
data, and other information that would pertain to daily implementation and the future.

Most plans with which task force members were familiar seemed to them to be wordy and complex, and therefore not likely to receive much public attention once they were published. The team decided that the planning document, in order to be useful, needed to recognize contributors and fix responsibilities for implementation. The final format selected for the manual was designed to encourage on-going evaluation for each part of the document. The hope was expressed in the document that this format would discourage the human tendency to ignore plans that were made with good intentions.

The rough draft of the LRP manual was ready for review by the total committee by the first week in October. It was interesting to note that very little debate occurred relative to the final outcome of the summer's work. Individual committee members indicated satisfaction with the resulting plan and offered only minor editorial changes to the chairperson. The minutes for October 11 indicated acceptance of the content, with unanimous agreement that the chairman should proceed with printing the "Long Range Planning Manual 1977-1982."

The document was presented in its final form to the president on November 30, 1976, with the recommendation that a permanent long range planning committee be established,
and that the planning manual be revised and/or updated each year. The report was presented, in total, to the Board of Trustees and was formally adopted by the Board of Trustees at their December 1976 meeting.

Conclusions

This process of planning took almost twelve months to complete and required dedicated effort by many people associated with this institution. In summarizing the effects of the planning process several impressions are dominant.

1. The political climate caused the planning process to be less clearly defined than it might have been, given less active times. Because of the many forces present, it was politically important to create such a plan, even though the president was somewhat ambivalent about the procedure to be followed or what its outcome would be. He appointed a committee that was serious and dedicated to the task. However, their lack of experience in planning never allowed them to delve deeply into a projective type of plan. They ultimately relied on the leadership of the chairperson, who was able to help develop a document that was acceptable to the president and the board.

It was interesting to note that the committee did not involve itself with the political significance of the document nor the political ramifications of the process in
general. On the other hand, the president and the committee chairman saw clearly what the document could represent in terms of leadership or institutional change as a whole. The final document was more important to the administration than to the faculty. Several interviews with faculty members and department heads indicated that the plan seemed less important to people at the lower levels of the institutional hierarchy. A large percentage of the department heads recalled the contents of their particular section three years after the document was completed, whereas few individual faculty members had such awareness. Nevertheless, faculty members who were not on the task force supported the planning effort, reaffirming the importance of such an effort even though they did not frequently see the outcome in day-to-day program activities.

The president remained in office less than one year after the document was presented to the board, and was succeeded in 1977 by his administrative assistant. As of 1979 no evidence that the document was under evaluation or revision could be identified. However, numerous items listed in the report had either been completed or were in process of being accomplished. Specifically, less than eighteen months after the acceptance of the plan, new funds had been identified which resulted in the construction of the Administrative Services Building. All in all one must conclude that because of the development of a long range plan at
Roscoe Community College, specific changes were made within the institution.

**Paul University--Case Study III**

**Institutional Profile**

**Introduction**

Paul University consists of the College of Liberal Arts and the School of Law. The university is the oldest institution of higher learning in the state, having been chartered by the legislative assembly of the territory in 1854. Paul University is a coeducational, private, independent institution and is affiliated with a major Protestant church. The university's programs lead to the Bachelor of Arts and Juris Doctor degrees.

**Historical Perspective**

The University School of Law has a history that is unusual if not unique among institutions of legal education. It was founded in 1972 by a group of thirty-three young men and women who wanted to study law and by several young practitioners who recognized the demand for legal education in this part of the United States. Their objective was to create a law school that would produce graduates equipped with the skills essential for practice, with a strong sense of professional duty to their individual communities.

Like the university in general, the law school operates on a year-round basis, which allows students the
opportunity to accelerate their respective programs. The curriculum is flexible, allowing advanced students to select many of their courses.

**Accreditation**

Paul University is fully accredited by the North Central Association of Colleges and Secondary Schools, and the National Council for Accreditation of Teacher Education, and is provisionally accredited by the American Bar Association as of 1976. In addition, the university holds membership in the Association for Innovation in Higher Education, the American Association of Colleges for Teacher Education, and the American Council on Education.

**Philosophical Perspective**

The university continues to evaluate its role in higher education, particularly as it relates to a liberal arts based educational plan. The faculty supports the value of a liberal arts education even though they are being forced to defend this position more than any time in recent history. The university, through the Board of Trustees, stands firmly in the tradition of those selected colleges that seek to provide liberal education and that prize intellectual rigor. As a means of articulating this tradition, the liberal arts faculty has adopted the following broad educational objectives:

1. To provide an understanding and appreciation of the various fields of knowledge.
2. To offer intensive study in one area of knowledge.
3. To stress the place of individual responsibility and independent effort in all learning.
4. To demonstrate the impact of one's values and philosophy on one's actions.
5. To emphasize the relationships among the contributions of the various disciplines in solving man's problems.

Through the years special characteristics have developed that indicate clearly the intent to make far reaching educational possibilities available at the school. Admissions literature underscores the student's own participation in the learning process. There has been a strong and continuing commitment to provide opportunities for international education and experiences involving students in cultures other than their own.

It is clear that a liberal education, together with an especially strong emphasis on solid work in a chosen area, constitutes the primary emphasis of the undergraduate education at this university.

Location

The thirty-acre campus site is located almost equidistant from the downtown centers of two major metropolitan cities. Because the two cities are considered the cultural and economic hub of this midwestern area, they abound in cultural and recreational opportunities which can supplement and enrich the educational experiences of each student.
In this metropolitan area a traditional midwestern openness prevails, with an established sense of history and growth in the arts, recreation, and service institutions. A strong sense of community dominates the interrelationships of higher education and the practical exposure to the city, the student, and the established practitioner. For off-campus recreation, this metropolitan community and adjoining area provide lakes and rivers for swimming, boating, fishing, and picnics, as well as opportunities for such other activities as golf, skiing, major league professional baseball, football, soccer, and ice hockey. As part of their liberal arts education, Paul University students are encouraged to explore and enjoy these cultural and recreational opportunities.

Facilities

The history and development of both the undergraduate school and the law school are found throughout the university campus. The primary campus facilities consist of eighteen buildings currently existing and a new building under construction to accommodate the law school. In order of their erection, the main campus buildings are described below.

University Hall (1884) contains administrative offices of the college, along with an auditorium that seats approximately 400 people. The President's Residence (1903) is a stately white home that serves both as a residence for the president and his family and the location of many formal and
informal gatherings of faculty and students. The Gymnasium (1909) provides for physical education activities and the P.E. faculty offices. The Manor House (1921) serves as the residence quarters for 233 women students. An athletic field (1922) provides additional space required for the physical education program. The 660' x 360' stadium allows the students to participate actively in a variety of competitive sports such as football, soccer, and track. A Protestant Church (1927) is adjacent to the campus. This impressive Gothic structure is the scene of many special convocations and other programs. The Field House (1937) is the home of the basketball team and headquarters for the coaching staff and men's physical education. The entire floor (125' x 177') is covered with a special Tartan surface and provides space for basketball, tennis, volleyball, and badminton courts. Other facilities include squash and handball courts and eight training rooms. A Residence Hall (1947) provides housing and dining facilities for male and female undergraduates, and, currently offices for the law school. The Fine Arts Center (1950) houses facilities for the departments of art, music, theatre, and communication arts. The theatre has a seating capacity of 235. The Hall of Science (1952) has classrooms, laboratories, and offices for the natural sciences, along with an auditorium seating 265 people. A second Residence Hall (1958) provides housing space for 116 male students and one of several dining
facilities. The Student Center (1963) is the social, recreational, and cultural headquarters for all students. Its facilities include a ballroom, snack bar, post office, bookstore, student publications offices, photography darkroom, information desk, chaplains office, meditation room, and several all-purpose rooms. Connecting the center and the field house is an Olympic-size swimming pool that features underwater lighting, sound, and observation posts, and a 350 seat gallery. The New Living Center (1969) is composed of three coeducational residences, each containing two houses of forty-eight students each. The Maintenance Building (1970) contains, within its 7,300 square feet, the physical plant offices, maintenance shops, and some storage space. Memorial Library (1971) provides for a multi-media information center. The four-level 90,000 square foot building accommodates 700 people and has book space for approximately 240,000 volumes. It contains several classrooms, the instructional services center, the microfilm center, and a special collection of materials on South Asia. The Alumni Learning Center (1972) provides classrooms, laboratories, and offices for the social sciences and humanities and mathematics, including a 100 seat auditorium, seminar rooms, and museum space. The new Law Building (1979) has been designed to comply with the requirements of the American Bar Association and the Association of American Law Schools. This facility is located adjacent to the main library, to allow easy access to faculty, learning resources, and classrooms.
Students

Paul University's 1,200 undergraduate students are about equally divided between men and women and represent thirty-three states and nineteen countries, giving the campus a cosmopolitan atmosphere. Students are able to meet, live, and study with other students of various interests and geographical areas. Seventy-five percent graduated in the upper one-third of their high school or preparatory school class. Three-fourths of the freshman students live in campus dormitories.

The School of Law carefully selects its students from a pool of well-qualified applicants. The two hundred spaces available for each entering class typically are filled from 1,500 applications. In a student body of 568 students, 60 percent are from the state and 23 percent are women. The average student enters at approximately twenty-six years of age. Many of those who enter this law school have earned advanced degrees or have had extensive work experience.

Faculty

The undergraduate faculty of approximately 130 full-time and forty-five part-time professors combines scholarly attainment with the capacity to stimulate and challenge the students. The professors are committed to the liberal arts approach, which stresses the unity of knowledge, the need for breadth of exposure in learning, the ability to see relationships among disciplines and the importance of developing
a talent for synthesis. More than 80 percent of the undergraduate teaching faculty hold Ph.D. degrees; more than 90 percent have earned the highest degrees relevant to their field. They average twelve years of college teaching experience. They keep current on new developments in their areas and many contribute to the expansion of knowledge through research and writing. However, teaching is their major reason for being at this institution. The School of Law faculty consists of twenty full-time professors plus a dean, two associate deans, legal writing instructors, five professional librarians, and a visiting professor each year. The student-faculty ratio is approximately twenty to one. The full-time faculty members come from fourteen different law schools, and nearly all have had experience in the practice of law prior to entering the academic sphere. In addition, prominent members of the local legal community contribute to the curriculum. The school employs nineteen part-time instructors who are considered adjunct faculty members and about thirty clinical supervisors.

Administrative Profile

The administrative organization of the university is typical of most institutions of this type. The Board of Trustees holds the legal responsibility for the overall functions of the school. The president is appointed by the board and, with their approval, is able to appoint his primary administrative team. This first line administrative staff is
composed of the Dean of the College of Liberal Arts and Sciences, the Dean of the Law School, a Vice-President for Development, and the Business Manager. Each of these officers reports directly to the president of the college.

The Dean of the College of Liberal Arts and Sciences appoints, with the approval of the president, an Associate Dean responsible for academic development and research, a Dean for Student Services, Assistant Dean responsible for records, Department Chairpersons, and the Chief Librarian.

The Business Manager is responsible for appointing people to provide services in such areas as the physical plant, fiscal control, food service, payroll, cashier, and bookstore.

The Vice-President for Development supervises staff members who are responsible for such areas as annual fund, alumni office, deferred giving, news bureau, and publications.

The Dean of the School of Law performs his primary function with the assistance of a head Law School Librarian and an administrative team consisting of admissions, registrar, placement, and accounting personnel. A recent addition has been a person responsible for continuing legal education.

Two administrative officers for Admissions and Financial Aid report directly to the president. However, they are not considered as part of the first line team.
The administrative chart of Paul University shows clearly that the two faculties are autonomous in their academic functions, in that they are on an informational line to their respective deans and the president. Most administrators reported that, other than being heavily over-worked, they were satisfied with their place in the organizational structure of the management team. It was felt that the president was accessible and offered consistent cooperation. The organizational and psychological climate for effective management appeared to be at a very high level. The spirit of working together was obvious in most cases and was verified by the several persons interviewed.

Financial Status

Paul University has been able to maintain a balanced budget over the years, in spite of rising costs and a stabilization of the undergraduate student population. The annual budget for the Liberal Arts programs totaled more than six million dollars as of 1978, and was just under two million dollars for the School of Law. The development office has been instrumental in establishing new programs that have been yielding additional revenue.

The 1978 endowment fund was in excess of 14.5 million dollars and produced about one million dollars for the general fund. In addition, an economic base of about twenty million dollars invested in the physical plant allowed the university
some flexibility when it became necessary to borrow money from the bank. Another area that improved during 1978 includes both restricted and unrestricted gifts. Well over 700 thousand dollars was provided for this annual fund through government related projects, with a total program of almost 1.5 million dollars. The greatest challenge for the institution will be in the future. The realities that must be faced include rising inflation, a declining overall student population pool, and the necessity to maintain tuition at a reasonable level to allow access to this school's educational programs. Based upon the priorities determined by the Long Range Planning Task Force, a $10.5 million capital campaign was authorized by the Board of Trustees. The components of the fund drive included the law school building, a new fine arts structure, an outdoor all-weather track, remodeling of the science building, and increased endowment funds.

The financial picture of Paul University is not bleak. However, serious attention must be directed at maintaining the economic balance so necessary for institutional viability. Almost every person interviewed was aware of the fiscal limitations of the next few years, and the need to recognize new areas of growth and revenue.

The Planning Climate

Beginning in 1976 the Board of Trustees became increasingly concerned about the future of the college. It
looked for specific ways to continue the past successes of the university. Frequently they found themselves responding to conflicting messages from the president, who was reporting some success in terms of a balanced budget and simultaneously indicating that demographic studies were showing a drop in overall student enrollment.

At the January 1977 meeting of the Board of Trustees, explorations began of ways to protect the legacy of the institution. Since the president was a member of this group, individuals could readily offer constructive suggestions to him. This open communications channel made it easier to explore possible means to providing appropriate information and direction. The Chief Administrative Officer and the board members were on excellent terms and appeared generally respectful of each other's role and performance. The climate was appropriate for beginning the process of identifying the hard facts and realistically looking ahead.

The president had now been in office for approximately one and one-half years and had made a determination of the relative weaknesses and strengths of the faculty, staff, and administration. He believed that the university was ready to move into a major project of long-range planning.

During February and March, 1977 the president and the board explored particular strategies to implement a study of the institution. In discussing this period with the president, several aspects that would influence the outcome of a study of
this type were revealed: (1) the Board of Trustees needed documentation about the institution that was focused and produced in some systematic way; (2) the president had had little or no experience in long range planning; (3) the university was anticipating an accreditation review at the end of February 1978; (4) no funds were budgeted for this project, which meant that it would be necessary to identify other sources of revenue or budget modification; (5) the faculty needed an opportunity to re-examine the mission of the school in light of a continued debate relative to liberal arts or professional education; (6) demographic information clearly indicated that unless the school had a viable program to meet current societal needs, it would not command even its present share of the student market.

Although the president was under no particular pressure from the board or the university constituency, the number of items identified indicated his concern as to the most appropriate and effective way to begin. It was clear that the president was in control and that trust in his leadership was not being significantly challenged by specific interest groups within the institution. The long range plan could serve to ascertain the best thinking of the board, the faculty, and the administration while the planning process could be helping to develop a professional sense and an atmosphere of collegiality.
The Planning Process

Committee Selection

The first official act regarding the long range plan for Paul University began with memos dated April 26, 1977, directed at the chairmen of the two key faculty committees. These memos requested that each committee nominate five to six faculty members. The president had decided by this time that the task force should consist of twenty-three members with approximately equal representation from each constituency of faculty, administration, and trustees. Initially the president had not intended to invite students. However, he later appointed five students, based upon the recommendation of the task force. He appointed six board members; and in consultation with the two deans, appointed six faculty members from the twelve names submitted, and completed the committee with four additional members selected from among the administrators. When the task force was finally established it consisted of six board members, six faculty members, seven administrators (including the president and two deans), and five students. The president appointed himself as chairman and designated a faculty member to be the task force coordinator. Furthermore, he established a cross-section of faculty representatives from the various academic disciplines. He made an effort to select individuals who would keep the best interests of the institution in mind as they deliberated, and whose ability, concern, and length of institutional
services would command overall faculty respect. The hope was that these representatives would remain unbiased in their institutional perspective and could contribute the necessary time.

Little emphasis was placed on the need to have experienced planners on the task force. However, there appeared to be some political considerations in the selection of faculty and members of the Board of Trustees. The position the administrator held also seemed important to the selection process. Interviews with several faculty members and administrators confirmed that the task force was perceived to be an influential group.

Initiating the Process

Because of the time required to communicate with all the task force members, the first meeting was delayed until October 6, 1979. This delay provided time for the deans and the president to prepare for the forthcoming task and to identify new sources of funds.

A grant was written which was designed to support released time for a coordinator and some funds for a two-day retreat near the end of the project period. The president wished to be adequately prepared for his task and was thorough in his research. Because of the president's need for data, requests for information were sent to presidents and deans of colleges similar to Paul University. One statement in particular by a Vice-President for Academic Affairs (who had just
completed a long range plan for his institution), influenced the planning design:

As with any project of this nature, the process by which it is done is probably more important than the product. I think many "answers" can be given to the questions raised identifying different goals and objectives for different colleges. But the involvement and sense of ownership are critical.

The chairman of the task force believed this advice to be important to future planning. In retrospect, however, he admitted that he was at a loss to identify specific ways to involve faculty and others dealing effectively with long range planning. He believed that this was a monumental challenge, particularly since the task force had little relevant data or experience upon which to draw.

The first meeting of the group was primarily informational in design. The session was conducted by the chairperson, who established the objectives of the task force as: (1) to examine the mission of the school, (2) to set goals for the next five to ten years, and (3) to plan strategies for the implementation of these goals. The president announced that he would preside over all the large group meetings; however, this large group would be divided into several sub-committees to facilitate the work of the task force. He indicated that the sub-committees could select their own chairpersons and should reconvene in the large group when necessary.

The second session was devoted to discussing and establishing the various sub-groups and their responsibilities
in relation to the larger task. The group, after several hours of debate, established five sub-committees: (1) constituencies, (2) faculty and staff development, (3) educational programs, (4) financial resources and physical facilities, and (5) student development. The president joined the financial resources sub-committee, but chose not to assume the chairmanship. He indicated a conscious desire to remain neutral so that he could participate in the discussion as a member of the group rather than as chief executive officer.

The time-line for the task force was established at the third meeting and included the following schedule of events:

**February 1:**
Adopt goals and objectives of three sub-committees
   (a) Constituencies
   (b) Faculty and Staff Development
   (c) Educational programs

**February 14:**
1. Adopt goals and objectives of two sub-committees
   (a) Financial resources and physical facilities
   (b) Student development
2. Begin discussion of strategies of two sub-committees
   (a) Constituencies
   (b) Faculty and staff development

**March 7:**
1. Adopt strategies of two sub-committees
   (a) Constituencies
   (b) Faculty and staff development
2. Begin discussion of strategies of three sub-committees
   (a) Educational programs
   (b) Financial resources and physical plant
   (c) Student development
March 17-18 (2-day retreat):
1. Adopt strategies of three sub-committees
   (a) Educational programs
   (b) Financial resources and physical plant
   (c) Student development
2. Review goals, objectives, and strategies of all sub-committees
3. Approve format and content of
   (a) Blueprint for the next ten years
   (b) Grant proposal for funding where resources are needed

March 28: Review and adopt completed documents

Time and Control

Although the process for long range planning seemed well defined and ready to be implemented, some resistance became evident during the third meeting of the task force. Interviews with several members revealed that the group itself wanted some time to articulate their thoughts as to the appropriate method to follow in completing this task. One person expressed some resentment that little time was made available to grapple with the issue of long range planning. He believed it was important that the group somehow determine its own guidelines. Other issues that seemed to hinder the free flow of conversation during the initial meetings were the size of the group and the potential political nature of some of the representatives. The faculty members and students seemed somewhat reserved vis-a-vis the administrative and board representatives. Several members of the task force indicated concern that the composition of the group appeared heavily weighted in favor of the president and that
he might tightly control the output of the task force. The president, on the other hand, attempted to be efficient within the constraints of the timeline he had established. In retrospect, he expressed the opinion that more time for the group members to interact would have facilitated a more effective beginning.

During this initial struggle for direction, the task force was beginning to formulate itself as a group and was establishing itself as an influential force in the process of LRP. Several new directions were identified and some faculty leadership became apparent. This slight deviation from the planned course somewhat diffused the leadership function of the president, which ultimately led to a stronger commitment on the part of the various individuals. References to this shift in power roles from one individual to the broader group controls were made in several interviews. Once the issue of control was raised and dealt with, the task force returned to the original design for the planning process. The group was now able to identify with the logic of the proposals presented as early as the first meeting. Up to this point, there appeared to have been apprehension about motive and design. Once the air was cleared, the process moved forward.

During the fifth meeting, the following statement was presented by the chairman for consideration by the group. This statement was not officially adopted, but ultimately it became the blueprint for the planning process.
I. Basic Beliefs, Purpose, Functions, and Characteristics

A. Describe basic beliefs - a listing of widely accepted convictions which provide a foundation for planning.

B. Describe basic purpose - the broadest, most comprehensive statement possible describing continuing purpose of mission.

C. Describe basic functions - a listing of separate, major ongoing activities.

D. Describe identifying characteristics - a listing of special identifying traits of the university, with some evaluation of whether these are strengths or weaknesses. This can be done by placing "+" or "-" before certain characteristics.

II. Formulate Goals and Objectives

A. Goals
Quantitative or qualitative statements which express in broad terms what the operation intends to achieve. Since they are so broad as never to be fully realizable, goals express a continuing intention and, in this way, serve as a guide both in formulating specific objectives and in every subsequent step in planning. The formulation of goals marks a turning point in the planning process because it attempts to describe an operation in terms of what it ought to be.

B. Objectives
Specific ends towards which effort is directed and which represent a partial realization of a continuing goal - objectives may be short-range or long-range, but they should be achievable within a certain time which is usually specified. Together with continuing goals, objectives are the basis for all subsequent steps of the planning process.

III. Collect Data on Intended Objectives and Analyze Trends

IV. Design Programs to Achieve Stated Objectives

V. Allocate Resources to Achieve Stated Objectives
VI. Schedule Activities to Achieve Stated Objectives

VII. Review and Evaluate Programs in Terms of Intended Objectives and Recycle Results

Collecting the Data

Following some discussion on the appropriateness of this format, the task force divided itself into sub-groups and began the research necessary to complete their assignment. Communication from this point was to occur through a designated faculty member, appointed by the president, as he assumed the role of coordinator. The coordinator would be responsible for conveying important information between the various subcommittees for keeping the president informed about the progress of the individual sections.

The five subcommittees organized themselves according to their own needs. No specific pattern could be identified in terms of persons who assumed the most prominent leadership roles. Several people indicated that the students and the Board of Trustee members tended not to be the most identifiable leaders. One administrator had just joined the university, so he could not be particularly influential. Most people interviewed recalled that the administrators and faculty ultimately exerted the greatest influence on both process and content, and that probably only six or seven of the committee members ultimately did most of the work.

Several members of the task force were asked in interviews about their readiness to pursue long range planning.
Each person indicated confidence that he was capable of performing this role. No one believed outside expertise was required. The consensus was that an internal team was the best planning force and that no special training was necessary. When asked about the process, each person expressed satisfaction with the proposals presented by the president. No attempt was made to contract with an outside agency or individuals to provide perspectives for the ongoing deliberations. The group relied on the information generated by the president and other members of the task force. Some concern was expressed as to whether the various groups were thorough enough in their data gathering because no specific check on their work was established. One member expressed concern that because the task force relied heavily on internally generated information, the final report would be somewhat limited. Another area of concern related to the depth of research the planners could conduct, and the lack of available hard data about the institution.

As the planning progressed, several members indicated that they needed more input from the people who would be responsible for implementing the goals. Yet, little interaction with many of these key people ever took place. The committee members were responsible for creating recommendations, yet were not responsible for carrying them out, which caused some members not to assume a serious attitude about the task in general.
After roles were assigned, members of the overall task force met every two weeks for about two hours. The subcommittees were to meet for two to four hours, during the weeks when the larger group was not in session. Each person interviewed indicated that this proved to be a grueling schedule and that he would have appreciated more time. Because of the established time-line, the president was often assumed to be in the role of "gate-keeper." It was frequently necessary for the task force to make decisions and move to another topic. Several people indicated that with the regular responsibilities they had, it was not always possible to prepare adequately for each meeting. Furthermore, data often were not available or would take longer to generate than the time-line would permit. Therefore, desired information frequently was not requested or obtained.

As mentioned earlier, time pressures seemed to prevent open exploration of data bases outside the internal environment of the school. Specific documents made available to the task force came from a fact book on higher education, American Council on Education, state and federal demographic projections, a speech by a high level administrator on "The Role of the Private Colleges in the '70s," and two documents based on the work of the Federated Learning Communities of Stony Brook from the State University of New York. No other outside data was made available unless persons had access to them through personal contact or research. There were no indications that
the task force used any special projective techniques, available computer programs, or simulation activities to help them develop recommendations or trace current university trends. One person indicated that the reason was the shortage of time, and stated that the group was busy struggling with the mission statement of the school. Another individual indicated that he would not feel comfortable using any of these techniques because they were not within his normal frame of reference. Two others responded in interviews that they were not convinced any of these techniques could have been useful to the specific uniquenesses of their school. Several persons remarked about the need for the university to have an office to deal with institutional data.

The next most significant planning event occurred when the subcommittee on constituencies presented a definition of the characteristics of the university's planning environment:

1. There will be a decreasing pool of high school graduates from which to recruit freshman students.

2. The university is located in an urban setting, but one which is unusually rich culturally.

3. The school has a history of relationship with the church, but there is no current sharp definition of what this relationship means.

4. The public image of Paul University is not clear.

5. This is a time of reduced faculty mobility.  
   (a) Faculty cannot move from college to college easily.  
   (b) This faculty has few people reaching retirement age in the next five years.  
   (c) The quality of faculty training is significantly higher than is often true of undergraduate colleges.
6. Paul University is no longer a single purpose institution (i.e., undergraduate liberal arts).

7. The internal dynamics of the college are such that any considerations for the future coming from within will be rooted in the liberal arts tradition.

8. The undergraduate faculty is not only dedicated to teaching, but keeps a concern for teaching as a conscious, up-front, matter of concern.

9. This is a local institution in student body, which is reinforced by state aid programs.

10. The institution has become significantly dependent on financial aid for recruitment and size of the undergraduate student body.

11. The university is currently dependent on transfer students to maintain the size of the entering class of new students. Twenty-five percent or more of each group of new students are transfer students.

12. Most undergraduate programs do not point to vocational objectives. Career emphases are provided through "support services" such as the Career Studies Center.

The entire meeting on November 1, 1977 was devoted to discussing this presentation. Several members commented on the focus on undergraduates of the twelve items and on the need to expand the concept to include the present influences of the law school and continuing studies programs. The committee accepted the challenge and began to explore ways to improve on the various elements to be included in their report. Since this was the first presentation made by a subcommittee, the task force used this opportunity to try to develop and adopt a consistent format that perhaps could be used by all the other groups. Several possible directions were discussed, with little agreement among the
majority of the task force members. This kind of debate caused some concern in that the large number of people in the committee made it difficult to process ideas into a focused position. The lengthy meeting ended without agreement on the final form to be utilized by each sub-committee. Later comments by the chairman of the External Constituencies Committee reflected the frustration of the members in attempting to move forward. The chairman indicated that the group seemed too large to enable decisions to come from their deliberations. If decisions were to be reached, much more time would be necessary than was being allotted. He believed that the president himself was well prepared, but should not assume that a large number of people could reach a consensus on the overall format. The chairman would have preferred a specific outline, such as was presented earlier, which then could be modified. On the other hand, the president wanted to have greater commitment from the task force and would have preferred that the group develop a format most suited for the institution. Other points made by various persons interviewed were: (1) the group was too inexperienced with future planning to know the best format; (2) most people were too busy dealing with current issues to truly project themselves into the larger university concerns; (3) the composition of the groups required more time for the members to communicate with each other to develop confidence and trust; (4) several vocal members
were dominating the discussion; (5) the best ideas were frequently not being given appropriate attention; (6) it was awkward to shift the group focus when the president was in the role of chairperson; (7) some people were uneasy about disagreeing with the president; (8) too much time was being spent debating something that was simple to decide.

The results of this lengthy meeting were set out in a brief memo from the president to the task force dated November 4, 1977:

Each subcommittee should meet to develop a series of goals within their general category. After the goals have been adopted by the entire group, each subcommittee will develop specific objectives and strategy to achieve the agreed upon goals. The person mentioned first in each group is asked to serve as chairperson and convene the group as soon as possible. The next general meeting will be Tuesday, December 6, at 3:00 p.m. in the Learning Center 218-W, by which time subcommittees #1 and #2 should be prepared to report.

This memo indicated a significant shift in style and intent. The president had clearly indicated what each group should do, how it was to be accomplished, and when it was to be completed. He also clearly shifted the burden from the large group to the smaller subcommittees. In another shift, he appointed the chairperson for each small group, although he had earlier indicated that this was the prerogative of each group. Of the identified chairpersons, two were top level administrators and three were department chairmen who held faculty rank as full professors. All
chairpersons were considered senior members of the faculty and administration.

Various subcommittees met the following week to begin the task as established by the memo. One of the chairmen interviewed stated that the president had called him prior to convening his group to assure him that he had full support from his office. He also asked if the task was clear, and elaborated on the specific assignment. The president further indicated the importance of the subcommittee and the necessary time line.

Prior to the December 6 meeting, another subcommittee was identified to establish a statement of mission and beliefs. This group consisted of two Board of Trustee members, the deans of the two colleges, and a senior faculty member, with the dean of the undergraduate school as chairman. The subcommittee on mission and beliefs met both privately and with the chief administrative officer and prepared the following statement to be presented to the task force:

Paul University is a community of learning whose aim is to free its students from the burdens of ignorance and parochialism in order that they may develop their full potentialities as human beings and successfully pursue rewarding careers. The community is characterized by the following convictions:

-education must seek to awaken each student to the full context of human experience--intellectual, spiritual, ethical, and artistic.

-the best elements of the liberal arts tradition provide the most effective means of enabling students
to become aware of our indebtedness to those who have gone before us, to think vigorously, to be morally perceptive and sensitive, and to act in socially constructive ways.

-the individuality of each member of the community is to be respected, the needs and aspirations of each student are to be recognized, and close student-faculty relationships are to be encouraged.

-our historic connection with the Church places our community in a context in which spiritual values can be explored in an atmosphere of freedom and independence of thought.

-selected areas of continuing and professional education which are compatible with the university's liberal arts education can further our aim of helping our students to achieve rewarding careers and to make meaningful use of their time.

The December 6 meeting began with a report from the president on the grant received to support the university effort in long range planning. Three thousand dollars would be made available the first week in January, 1978 while additional funds could be applied for some time in April. These additional resources could be used to implement the goals of the plan and to disseminate relevant materials to interested institutions. The president further reported that the grant would enable the task force to participate in a retreat, away from the institution, to deliberate over the final recommendations of the long range plan.

The remainder of the meeting was spent discussing the five items in the "Statement of Mission and Beliefs." The task force saw this discussion as an opportunity to generate a consistent message that would help the planning process.
The minutes reported active discussion among the group members. The president was more specific in his presentation, then led the deliberations point by point through the mission statement. The group, now more familiar with the process, contributed more actively than at the November meeting. Specific comments related to the improved organization of the session, the clarity of the areas being worked on, and the recording and development of the ideas being generated by the group. It was also indicated that two other elements contributed to the positive effects of the working session:

1. The subcommittees had had the opportunity to work together on two or three previous occasions, which enabled people to develop more effective communication. The notion that the group now showed greater ability to develop common goals and objectives was supported by several of its members.

2. It was important to provide advance information on the mission and beliefs statement. This was accomplished by sending each member of the task force a copy of the December 6 agenda, one week prior to the meeting, along with the rough draft of the statement prepared by the subcommittee. Each person interviewed indicated the difficulty he or she had had with attempting to make constructive comments with little or no preparation.

The task force made numerous changes in the proposed
statement on mission and beliefs. The final document indicated that changes were made within every item; one new statement was added to include Paul University in the context of the larger academic and social community within which it exists. Comparison of the two documents illustrated the growth of the planning team as members attempted to define their role within the planning process. It was clear that much had been accomplished in a very constructive way.

Because of the full agenda, the reports from subcommittees on constituencies and on faculty and staff development were delayed to the next meeting. The last part of this session was devoted to clarifying the impressions of the various small groups of their assignment as issued through the November 4 memo.

During the next two months the role of the task force coordinator, earlier appointed by the president, seemed to take on more importance. Reports and/or questions relating to the work of each subcommittee were now being channeled to the coordinator, relieving the chief executive of the responsibility for resolving each individual concern. This key faculty representative was given the authority to shape the document according to the guidelines and to recommend appropriate modifications to the planning team. Although complete minutes of subcommittee meetings were not available, final reports indicated a comprehensive analysis of each
assigned area. The coordinator noted that his involvement with each subcommittee permitted him to identify with the broad scope of the task and the comprehensiveness with which it was being addressed. He also indicated that it was important for the task force to be free of direct presidential intervention as long as the committee was performing its assigned task.

The Report

A memo to the president dated February 6, 1978 proposed the first formal outline of the final report. The preceding two months allowed the coordinator to achieve an overall perspective of the total planning effort in an impartial manner. He was now in the position to develop a more comprehensive view of the new information being generated. Also, the February 6 memo made reference to the foundation that had granted the initial planning funds. The coordinator stated, "... If I could see a copy of the original proposal to the foundation, the foundation's guidelines for proposals, and any other relevant documents, I could perhaps begin the rough sketch of that first section."

This reference to the foundation suggested another strong motivation for the long range plan. Later discussions with the coordinator and the president revealed that the possibility of funding from the foundation had had an influence on the format of the final presentation.
Because of the volume of data being developed, the task force were beginning to question whether they had adequate time to review the material and develop the reports. Some people were relieved that the various chairmen were able and willing to devote the necessary time to completing the assignment. The coordinator stated that even though he was allowed a one course reduction in his teaching load, the responsibility of his task required considerably more time and effort than he had anticipated. He believed that a half-time assignment would have been more appropriate.

The task force continued to meet on the bi-weekly schedule established earlier and used the time during January, February, and March, 1978, to further refine the individual statements. Each subcommittee presented position statements to the total group, who then debated the merits of specific items. If changes in a position statement were deemed appropriate, the subcommittee concerned was responsible for revisions. The format established by the president was followed, and each group modified the format only as required by the uniquenesses of its area.

The revised documents were ready by March 17 and 18, the designated time for the two-day retreat to be held at a conference center away from the university. The president opened the session with positive comments about the dedicated effort with which the assignments had been completed and indicated his pleasure with the various committee reports.
He reiterated the importance of these deliberations as the basis for the final long range planning report. The two days were to be devoted to determining the goals for the institution through the next eight years. He stated that each member of the task force had been sent the entire package of committee reports one week prior to this meeting in order to make adequate time available for reaction to the recommendations.

The conference center provided a pleasant atmosphere away from the normal setting of the university. Several people commented on the value of this intensive work period separated from day-to-day interruptions. Other comments relating to this session indicated that it might have been useful to hold a retreat early in the planning process to allow a less formal beginning. Some people suggested that it might have encouraged more open dialog sooner than actually occurred.

The final goals were selected primarily on the basis of consensus. Whenever consensus could not be reached, the item was deferred for later discussion. Ultimately decisions on the remaining items had to be made by majority vote, which seemed to be the only means to resolve basic differences. The president estimated that 90 percent of the goals were agreed upon by consensus, and only 10 percent required the majority vote. In discussing this point with the president, he indicated that this procedure was acceptable because
he always had the opportunity to inject his thoughts into the process. He added that although the goals would become part of the final document, the board viewed the long range plan as recommendations for future direction. This was necessary because the board could never abdicate its legal responsibilities to either the president or the faculty.

The meetings concluded with overall acceptance of the basic content of the long range plan. Several groups suggested both dates for attainment of specific objectives and the person or department who should be responsible for implementing them. The groups agreed that the suggestions seemed appropriate and kept them in mind as they reviewed their reports.

The next four weeks were devoted to writing the final report. The coordinator was responsible for this task and was given the authority to call upon those persons that would be needed to help assimilate the various reports into a comprehensive statement. The "Report of the President's Task Force for Long Range Planning" was accepted at the last meeting of the group during the third week in April, 1978.

Conclusions

The planning process at Paul University took a little more than one year to complete, and required considerable effort on the part of many people. While the design was initiated by the president, it took on dimensions that he
had not anticipated. Many group interplays caused changes in the initial focus and at times required significant shifts in strategy. Although the president had a specific goal in mind, his experience with long range planning seemed limited. This limitation frequently caused a shift in strategy that some persons interpreted as a power play. The president gave careful thought to the design of the task force and attempted to provide the leadership necessary to produce a successful document.

The president was motivated by declining enrollments and the need to combat the ever rising institutional expenditures. He recognized that funding agencies wanted to know what they would be supporting; therefore, some projection into the future was required.

No projective techniques or outside assistance was utilized in the planning process other than communicating with persons who had engaged in a similar activity. The president and the task force did not believe it would be necessary to bring in consultants, nor were they familiar enough with projective technologies to feel confident in their use. In any case, the time pressures and available data resources tended to prohibit the use of these techniques.

Little was done to validate the goal statements through outside agencies. Although the goals reflected the best thinking of the task force, they ultimately were limited to what the group perceived as internal or external needs.
The use of impartial outside resources could have added new perspective that might have challenged some of the basic premises accepted as fact. It is extremely difficult for in-house peer groups to seriously challenge position statements without the expertise to develop new directions or change. Examination of the final document indicated that it reflected the current institutional level of awareness but did not significantly alter the set direction of the institution.

The document does have implications for the future, particularly in the areas of curriculum, fund raising, and staff development. In the area of curriculum it has become an important statement, with staff assignments directed at a re-definition of the undergraduate educational objectives which placed greater emphasis on interdisciplinary study. The document specifically called for establishment of a committee to maintain and improve undergraduate enrollment, and for curricular offerings to involve the cooperation of the Law School and the College of Liberal Arts. Finally, the LRP recommended that new programs be developed at the post-baccalaureate levels and that continuing education programs be initiated to attract non-traditional students to the university.

As of 1979, a new development campaign was underway, and the new law school was becoming a visible reality. The Director of Development indicated that the long range plan
was an important part of the fund raising campaign. Several available publications for the capital campaign referred to the president's task force and quoted specific recommendations listed in the report.

Staff development was viewed as a means to improving the performance of the faculty and staff and enhancing their cooperative efforts. The task force recommended: the re-evaluation of the means of identifying and encouraging excellence in teaching, measures to improve the sabbatical leave program, and additional time for faculty research and training.

The faculty was presented with the content of the document but was not asked for approval. Copies of the final recommendations were made available through the library. Outside the task force, few faculty members could be identified who had a clear in-depth understanding of the year-long effort.

The preface of the completed long range plan stated:

In sum, this Report has a dual purpose: it is in part a re-examination and re-affirmation of the fundamental purposes and goals of University, and it is a statement of those steps that needs to take in the years ahead if it is to sustain and enhance its tradition of academic excellence and service to the community. All initiatives of this kind are born to be superseded, but the President's Task Force hopes that this Report will provide directions and guidelines for the University's development both in the immediate future and over the coming years.

The president was able to accomplish what he hoped would reinforce his top priorities. Although he had had
goals in mind, prior to the formation of the task force, the means of accomplishing them were not always clear to him. In a closing interview, he indicated that it would have been helpful to have had some additional long range planning expertise during the entire process. He was satisfied with the success of the project but indicated some ambivalence about institutional commitment to the overall plan. He indicated that while it was time to initiate a review of the report, the document would continue to serve well for future planning at the university.
CHAPTER IV

ANALYSIS OF THE DATA

Introduction

The purpose of this chapter is to analyze the processes and procedures of long range planning at the three institutions of higher education reported in Chapter III. The in-depth interviews and examination of institutional documents provided some insight into the complexity of such an endeavor. Each institution, without exception, embarked on a major institutional commitment without the necessary expertise or experience to develop what the literature refers to as a comprehensive long range plan. In each instance, however, the three institutions were able to generate a document that was acceptable to its various constituencies. Further, the document was an important influence on major policy decisions after its completion.

Although the following analysis cannot be considered as an absolute documentation of the facts and events that occurred, the findings reported in this chapter did provide important data. The case study approach used in this research helped to further identify the complexity of long range planning and the many considerations that must be taken into account. Each chief administrative officer ultimately
revealed that his LRP project proved far more complex than originally anticipated.

To help organize this chapter, the original four study questions were used as the basis for the analysis and conclusions.

**Question I**

*What processes and new technologies were used during the development and adoption of the long range plan?*

In order to respond to this question it was important to examine specific areas such as control and planning, motivation to plan, committee size and structure, faculty and administrative involvement, the planning climate, outside influences, and the dominant planning mode. It was particularly interesting to note the many similarities between these three institutions struggling with similar process problems which yet were totally removed from one another.

**Question II**

*What were the relationships of the actual processes and technologies used as compared to the literature?*

The second question related what had occurred at these three institutions to what the literature indicated would occur. Although the literature presented a large array of future oriented technologies and techniques, these three institutions, for the most part, attempted planning from their own perspective. In retrospect each rationale for planning
appeared to be predictable and expected. It was important to examine the overall makeup of the committee and the expertise of key individuals as to what form the final planning process would take.

**Question III**

What were the implications for curriculum development, staff development, and fund raising?

The third question helped to focus on the implications of this major project. In order to respond to this question, it was important to analyze statements that were made following completion of the documents, and to establish a specific connection to the long range plan.

**Question IV**

What were the administrative implications relative to the process and use of the new technologies?

The fourth question enabled a somewhat open development of thoughts based upon first hand examination of three individual institutions. This question provided the opportunity to relate many fragmented impressions of what might have occurred to what had occurred in each case. Much of this data was stored in various marginal notes on the interview sheets and materialized through the synthesis of scattered bits of information revealed during the many discussions and examinations of documents.
Question I

Control

In each instance the ultimate control and responsibility for long range planning rested with the president of the institution. Although the style of each administrator was different, it was not possible for him to abdicate the final authority given to him by the Board of Trustees.

The president at Terry Institute chose to place committee emphasis, for the most part, in the hands of the faculty. He wanted the group to be small enough to function and yet wanted the faculty to have strong input toward identifying the final membership of the task force. The fact that almost half of the group was faculty (selected by faculty) indicated his style of administration to be open and generally quite trusting. Nevertheless, it became obvious that the president needed and wanted some control over the final document. He accomplished this control with the appointment of his administrative representative who became (by committee choice) the chairman of the committee. It was the expertise and strength of this individual that significantly influenced the final document. The Associate Dean of the Faculty (administrative representative) was frequently called upon by the president when there was a difficult task to be accomplished. This dean was perceived, by both faculty and administration, as a significant leader and was able to effectively bridge the gap between the faculty and the
president. It appeared that although the president encouraged strong faculty participation, he never relinquished his authority by appointing a strong representative and by always assuming that the final report was only a recommendation.

Roscoe Community College was in a more crisis oriented situation, which seemed to create the need for more control of the outcome. The president was getting pressure from the board and the community and did not have the complete confidence of his faculty. He seemed unclear about the benefits of the long range plan and was ambivalent as to whether it would prove to be consistent with his thoughts about the future of the institution. The pressures from the board, community, and the impending North Central Association visit appeared to be the primary motivation for developing the planning document. The president's leadership style did not seem to be very open and trustful, because he made only limited use of the available committee structures. The president appointed all seven members of the task force, which upon closer examination revealed a strong administrative commitment via the Dean of Instruction (chairman of the committee), and only one strong faculty leader. The other members were either part-time faculty, newly appointed administrators or board members, or faculty members near retirement. The plan was finally formed and written by the chairman, who assumed primary responsibility for the document.
The president did not actively participate in the task force deliberations, although he retained ultimate control of the LRP through the chairman of the group and his choice of appointments.

Paul University provided an interesting contrast in climate for long range planning in that the president was not under any pressure to develop a LRP and was neither very open and trusting nor generally mistrustful of others on the faculty or administration. He tended to present a very confident and strong leadership role model, and was perceived to be in control of most situations. The twenty-four member committee in this case, proved later to be too large for effective communications and working relationships. However, the president requested nomination of twelve faculty from which he selected six, and concurrently appointed five board members, six other administrators, and five students. He also retained chairmanship of the overall committee. The large size of the committee and the strong leadership style tended to give the president the edge in control of the outcome of the document.

In all three instances, although often appearing not to have strong control, the presidents retained their authority over the outcome of the long range planning. It must be stated that it was not always clear whether this control was a result of self preservation instincts or the result of a clearly defined plan. However, the final outcome was
consistent in all three instances; because each administrator must retain control over his institution. None of the presidents clearly articulated a specific need for final authority; however, they all indicated an awareness of the potential impact of a document such as this on their role in the institution.

Planning Climate

The planning climate had much to do with the actual ability of the committee or task force to develop a well articulated document that it could support through implementation. The three case studies provided a wide variety of circumstances, from a relatively calm, quiet, presidentially initiated long range planning process at Terry Institute, to a somewhat pressured situation at Roscoe Community College. Each institution took approximately the same length of time to complete their assignment, ranging from about nine to twelve months.

Although the different leadership styles of the presidents did affect the manner in which each committee addressed their specific assignments, it can be concluded that the less turbulent the planning climate the more effective will be the planning process. Of all three colleges studied, Roscoe Community College was under the most pressure and had less leadership, direction, and final commitment than either of the other two institutions. The committee
was formed to develop a document, but was closely controlled by the president and his dean. The circumstances seemed to necessitate this control; however, it limited the effect of the overall results. Even though a well designed and comprehensive document was available, it was difficult to find someone (even some of the faculty that served on the committee) that could clearly articulate the results of several months of work.

The level of trust and support is far less under pressure than it would normally operate with all parties focusing attention on the problem at hand rather than at personal interests or issues. Based on these observations, presidents would be well advised to develop a long range plan that can be continually up-dated prior to being forced to respond to a crisis situation.

Outside Influences

For the most part, all the committees formed to do long range planning were made up of well educated academic people. Almost without exception these individuals believed they had the ability and skill to develop a comprehensive future oriented plan for their institution. When specifically asked about this, it was generally indicated that their combined knowledge of the institution and its constituents placed them in the best position for projecting into the future.
Although this may be somewhat true, it was interesting to note the relatively little use of outside resources in all but one of the schools. Most committees seemed to be so engrossed in studying their institution that little time was available to place their knowledge within the context of the local, state, national, or world needs. In all cases the president did indicate to the committee that outside information and assistance could be provided; only one institution chose to take advantage of these outside resources.

In view of this information, it was particularly interesting to find that in retrospect most people interviewed did not believe their final document to be very future oriented. They indicated the process and the report contents were important and needed to be done, but more often likened the effort to an accreditation self-study, perhaps with a little more emphasis on the future.

Based on these observations it appears that academicians may require some additional expertise to add to their knowledge about the institution--particularly outside data that ultimately affect their being, such as demographic and economic trends, social expectations, and governmental planning. Such data are frequently not readily available to the committee unless the group is fortunate enough to have someone that has this expertise. Frequently time pressures
and other outside commitments prevent any indepth research in these areas.

**Technologies Used**

To further emphasize the need for specific future planning expertise on the committee, it was important to note that only Terry Institute used readily available technologies to any great extent to assist in their projections for the institution. This seemed to occur because of the Associate Dean of the Faculty, who was well informed about these techniques and could influence group opinion as to their value. Terry Institute specifically utilized the scenario, the delphi, and computer based analytical techniques to formulate data the committee could use to develop their recommendations. This planning team was the only group that had available to it identifiable in-house expertise about future oriented projective techniques.

It appears that unless the planning team is exposed to a variety of planning techniques, it is not likely to select or use the appropriate mechanism to gather the necessary data to help them develop their recommendations. Anyone interested in future planning would be well advised to expose the committee to the variety of technologies currently available, or to provide the means to develop new techniques to meet institutional needs. Unless this expertise is available within the group it is not likely the planning team will be motivated to seek such information.
Process of Planning

The most readily available information to the chief administrative officer was the mechanical aspects of planning. None of the three presidents considered themselves expert in future planning. Each administrator relied heavily on the formed group and the information they could gather from other administrations and institutions. This information was generally sketchy and rarely included indepth knowledge about the intricacies of committee formulation and use of available human resources. It was clear that those primarily responsible for this activity lacked adequate resources to effectively implement such a complex task. The lack of experts and experience in this type of activity seemed to leave much of the outcome of planning to the combined knowledge and skill of the group and ultimately the leadership ability of the president. Almost without exception the three planning teams studied valued the experience, and individuals often indicated personal and professional growth as a result of their involvement. Much time was often devoted to searching for ways to facilitate the process of planning, frequently leaving less time for gathering and contemplating the data. Many individuals, looking back, felt the need for more input from their colleagues, however were at a loss as to how this could be done given their regular work loads and the ever impending time constraints.

Most people interviewed at all three institutions
studied seemed as interested in the process of long range planning as they were in the final product. In almost all instances these individuals relied on their natural humanistic tendencies to effect these process oriented procedures.

It seems that unless the president is well schooled in group dynamics and group process he should provide for these dimensions in the initial and on-going stages of long range planning. Since it may not be practical nor economically feasible to train an entire committee, these abilities could be built into the composition of the planning team by the use of outside or in-house experts. This type of assistance could facilitate the process more effectively and would permit the group to use their expertise more efficiently.

If long range plans require widespread institutional commitment to become effectively implemented, top administrators must seek ways to gain this support. This study indicated that those individuals not directly involved in the planning effort or in the top administration ranks knew little about the contents of the completed document. This was true in spite of the fact that all three institutions made copies of the document available to the entire college community, therefore indicating a low investment level among faculty. In addition, none of the colleges visited were actively reviewing or updating their documents, suggesting that the second line administration was not heavily invested in the plan either.
The lack of widespread institutional understanding seemed to limit the usefulness of such a great effort, because few people clearly supported the identified goals of the LRP, and yet most people interviewed continued to positively support the activity.

All three presidents indicated that this study sparked renewed interest in their institutions, relative to their planning documents. This type of recurring interest suggests that someone should be directly responsible for keeping institutional planning efforts at a high level of priority. Also, ways must be identified to involve larger segments of the college community in the review, revision, and implementation of the plan. Unless this does occur, institutions will not realize the total value of such a significant investment, whether it be actual out-of-pocket expense or human energy that could have been utilized in other ways.

**Question II**

It was important to review the literature prior to beginning this investigation of long range planning in higher education, because it provided the basis from which many questions later surfaced during the extensive interviews. The process used in planning varied widely from institution to institution and provided some interesting contrasts to the existing literature.
Use of Technologies

The literature frequently cited models, technologies, and analytical techniques specifically designed to yield new information or analyze existing data; the schools in this study, for the most part, chose not to use these available tools. This study revealed that these institutions consistently lacked personnel who were generally aware of these techniques or that felt comfortable with their use or implementation. Regardless of this lack of knowledge and the availability of external planning experts, all three institutions chose to complete their plan primarily utilizing internal resources. Two of the three institutions were at the level of what Sokolow referred to as first generation planning.¹ This preoccupation with process and internal inputs limited the final outcome of the planning document, and ultimately caused considerable frustration for many of the committee members. Most people at these two institutions indicated high hopes for the plan in the early stages of the process and generally indicated less confidence in the possibility of any future oriented outcome near completion. Terry Institute was the only institution that approached Sokolow's description of second generation educational planning in that they did focus on

forecasts, desirable future states, and alternatives for achieving those desirable states.

Although the literature indicated a wide variety of models available for use in institutional planning, little evidence was available to show any sophisticated attempt at applying this knowledge to the planning effort. However, further analysis did reveal that two of the colleges were utilizing what Lee categorized as the descriptive model ("solely concerned with representing an existing situation"), and one was utilizing the predictive/planning model (simulating future trends including the range of performance that is possible in relation to defined objectives).²

Observing these three planning processes in retrospect indicated the struggle that was occurring among individual committee members to establish more sophisticated techniques of predicting the future. The frustrations of having to predict the future without much more than feelings and hunches proved to be severe for many committee members. It is very likely that given a second round of planning (if the group could be coerced to do it again), more sophisticated techniques would be sought. This study illustrated that most individuals who were asked to serve on the three planning teams were untrained futurists and it was a credit

to their intelligence that any document at all could be generated. The literature reflected that a growing industry of future planning is upon us; however, it was clear the chief administrative officers were not aware of or convinced that this future planning industry could be of benefit to them or the institution they served.

Growth of Future Planning

Many top level administrators in higher education and political leaders believe that growth and development of colleges and universities will heavily depend on their ability to articulate future goals in relation to the society around them. The fact that more than 62 percent of the institutions polled responded on the first inquiry as to their planning efforts, indicates a strong interest in this area. Further, more than 63 percent of those responding indicated the completion of a plan, and less than 12 percent reported no plan at all. Slightly more than 25 percent stated their difference with the definition used in this study or were currently developing their long range plan.

These figures clearly support the position identified through the readings in that a very high percentage of colleges and universities are engaged in future planning. However, the sophistication of these plans still remains questionable. This investigation did not identify a highly sophisticated approach to planning at two out of three
institutions, and all schools were more motivated by the process models identified in the literature than the more technical statistical analytical techniques.

Lack of Planning Expertise

This study demonstrated that none of the institutions had adequate personnel or understanding of the comprehensive nature of long range planning. Most people in the field of education believe it is likely that interest and need for educational planning will continue to grow and more emphasis will be placed on developing a balanced team for this purpose. The current literature on systems, models, and the humanistic aspect of planning will enable future teams to develop more appropriate schemes for completing their tasks. Administrators will likely become more aware of particular strengths and weaknesses within their staff and will seek external help when needed. It is clear that more information on planning exists than presidents are currently utilizing. Since outside specialists are not commonly used on planning teams, some effort to transmit to presidents about to engage in a significant planning effort, current knowledge contained within this burgeoning industry must be made.

Little evidence was available to indicate a widespread use of systems applications or even use of future oriented terminology suggested through the literature. The language used by most individuals interviewed for this study
indicated a limited familiarity with the current state of the art.

Douglas Schofield suggested three factors that seem to prohibit successful long range planning:

(1) lack of recognition of planning improvements, caused by a lack of administrative training and detachment among college administrators; (2) a one-sided view of expenditures which ignores payoffs, especially ill-defined or distant payoffs; (3) a philosophy or attitude against structured, systematic planning processes in colleges.³

All three factors continually surfaced throughout the study. The faculty and administration both seemed to resist the planning effort at different times, and frequently could not see the political importance of the total effort. The literature recognized that this resistance is constantly present for this type of project in higher education. This study reaffirmed that unless some effort is consciously made to reinforce the benefits of long range planning, various subgroups may prove to be counter-productive. However, it was surprising to discover the difficulty most people had in recognizing the political significance of the process and document, suggesting that the faculty in this study were not motivated by these factors.

**Political Impact of Planning**

The literature frequently alludes to the political

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impact of such a document and suggests that because of it change will likely occur; however, the more widespread the support the more significant will be the changes. It was interesting to note that in two of the three case studies the official long range plan was not presented to the faculty for approval. The only institution to do so was Terry Institute. Yet regardless of individual knowledge or full faculty approval, important changes did occur after publication of the recommendations. Because of repeated references to the long range plan, it can be assumed that the document was contributing to the change process.

These observations suggest that a written statement of this type does have significant impact on the overall goals of the institution. This fact alone implies that faculty and administration should continually strive to get their desires into the plan.

Where the political impact of educational planning is concerned, the literature must be carefully examined. Even though it may be true that the politics and dynamics of planning may continue to elude planning experts, change will occur because of the process and the final written document. The leadership involved with implementing the specific items must use this momentum to foster positive outcomes. Based on this study it can be said that long range planning is a powerful administrative tool that can be used to cause significant change regardless of what state of sophistication
the actual process has attained. It may also be said that
many faculty and administrators in higher education continue
to resist organized attempts at such an effort and frequently
do not realize the political impact of the final document.

Question III

This question was the most difficult to analyze be­
cause it was not always possible to ascertain an absolute
and verifiable connection with changes that appeared to have
occurred after planning to the final long range plan. One
could not always be sure if the outcome was a result of the
plan, or whether the desired outcome was merely inserted
into the plan to legitimize an ongoing effort. Nevertheless,
specific changes were observed in each institution visited,
and all had occurred after publication or at least the in­
vestigation or study related to the planning process.

The three areas of curriculum development, staff
development, and fund raising were all affected in some way
at each institution investigated.

Curriculum Development

Curriculum development was consistently affected,
because of the natural interchange between students, faculty,
administrators, and governing board members on the planning
committee. This area was of interest to all the constitu­
cies of the school, and often was the center of debate.
Most people realized that the curriculum was the heart of
the institution and that unless the correct combination of
courses could be emphasized, little benefit could be derived
from the educational programs.

It was interesting to note that all three institu-
tions had not been actively involved in any institution-wide
effort of curriculum revision prior to the long range plan,
but all had started or were in the process at the time of
this field study. Traditionally these major college-wide
curriculum revisions have developed momentum around an ac-
creditation visit or an important shift in institutional
focus. Otherwise, most programmatic changes were originated
through departmental initiatives and often lacked the politi-
cal impact to significantly affect the broader college com-
munity. This planning effort, being instituted at the
institution-wide level by the president, provided an excel-
lent opportunity to cause movement on curricular changes
beyond the departmental levels.

The time line for long range planning, in each case,
did not allow specific changes or curriculum revision to
actually become implemented. Each document, however, did
recommend changes that must have initiated debate and inter-
est at other levels than the committee.

One year after completing their long range plan the
dean of the faculty at Terry Institute indicated near com-
pletion of major examination and recommendations for curricu-
lum revision at their institution. He attributed the
formulation of this curriculum revision committee directly to recommendations from the long range plan. The dean indicated that the recommendations provided a momentum that allowed key people to focus on a need, and their diligence permitted new ideas to surface at the faculty level. This example serves to illustrate the residual effect a document of this type can produce, without actually doing the work of curriculum revision.

Roscoe Community College, despite its turmoil, still managed to effect some change in the area of curriculum development. Through the efforts of the dean and the individuals that contributed pieces to the plan, the inadequacy of a unified curriculum program was identified. The final planning document indicated that although the individual bits of program were sound, the unified effort of the educational program was not clear. This revelation sparked interest among the accreditation visiting team members, which in turn raised the interest of the administration and the faculty. The end result, in tangible terms, was an instructors manual for use of adjunct faculty; a revision of the college bulletin, indicating more appropriate statements about institutional programmatic objectives; and the formation of an improved curriculum committee. All of these items were identified through the process of long range planning and were not being adequately attended to prior to the final document presentation.
Paul University seemed to centralize its greatest curriculum changes around the school of law. The impact of a highly respected dean in this area, and the need to focus institutional resources on developing these programs, proved to be a major outcome of the long range plan. The interaction of the dean with other college constituents provided an excellent forum to raise primary issues relating to curriculum, a direct result of which was more interdisciplinary instruction at the graduate level, and greater interest in improving the communications arts programs.

**Staff Development**

Staff development could be said to have occurred at all three institutions in that each school brought large groups of individuals together to work on a project that would require new skills. Almost everyone interviewed indicated that they valued the experience and gained new information about planning. This in itself could justify embarking on this venture but would not prove cost-effective, since the actual process was not always clearly established. Since most faculties are untrained in planning and much information is available about planning, a case could be made for this type of staff development project, particularly if the assembled team were to be given the task as an ongoing responsibility, and were required to share their expertise throughout the institution.
One school did go far beyond this type of staff development. Paul University took this opportunity to articulate a need for a Center for Professional Development. The statements relating to Faculty/Staff Development became quite visible when the president appointed an associate dean to seek funding so that the center could become operational within the year following completion of the long range plan. The committee was committed to improving the quality of teaching at the university and recommended the re-evaluation of the established means for identifying and encouraging excellence in teaching. In addition, they wanted to enhance the scholarly capabilities of the faculty and identified measures to improve the sabbatical leave program and to provide additional time for faculty research and re-training. At the time of this field study (approximately one year after acceptance of the plan), a proposal seeking modest funding was available. Also, the Center for Professional Development program was operational with institutional financial support and the leadership of the associate dean.

Fund Raising

Fund raising was an important aspect of each institutional plan. In some instances the motivation for raising money appeared as a means to build new structures and appeared via the planning document, which frequently is developed just prior to a major capital campaign.
Two of the three colleges studied were private, relying to a great extent on non-public funds for their existence. Both institutions embarked on major capital fund drives within one year of completing the long range plan. The actual document was apparently important to this operation, because almost all of the campaign literature made some reference to the final recommendations. Also, the financial officers of each school indicated their need for a long range plan if they were going to convince donors of the value of the educational programs. This notion surfaced as a subtle but direct influence of business and industry on private college and universities. It seems that if private funds are to be contributed to the school, the school had better have a plan for the future. The message must have been clear to the development officer because the plan was well understood by his office. It seemed to be one of the few places at Terry Institute and Paul University that was well informed as to the contents of the plan.

Roscoe Community College, being state supported, did not appear to have as great a need to raise outside revenues. However, their long range plan proved to be a key part to getting their Administrative Services Building approved by the state legislature. These plans had been on the books for several years without significant movement forward. Within two years of completing the plan (one of the major recommendations was to build this structure), construction was
underway. This was accomplished in spite of the facts that enrollment had stabilized and that significant institutional growth was not likely to occur. The strength of such statements as Roscoe being the most cost-effective community college in the state and its commitment to curriculum revision and improvement appeared to have a positive impact on the decision makers.

Further evidence of the fund raising impact of long range planning was furnished by the new Law Building being constructed at Paul University. The need for this building was clearly articulated as part of the educational future of the university and if the Law School were to make its contribution, it would have to have a home. The vice-president for development indicated this concept was an acceptable one for many donors.

Question IV

Powerful Political Instrument and Change Agent

The president is ultimately responsible for the future of the institution and must guide its growth and development. His office is the only place this type of effort can be launched and completed effectively. The chief administrative officer must retain control of each step of the process in order to provide for the overall institutional needs.

Although it may be important to engage a large number of people in the total development of such a document, it
was interesting to note that only one of the three institutions actually presented the plan for faculty vote and approval. In this one instance little debate took place, suggesting either complete confidence in the task force or a somewhat limited understanding of the contents of the report. In discussing this point with several administrators, their conclusion was that key individuals were involved all along the way and ultimately this kind of vote was only ceremonial. It made little difference at the conclusion whether or not the total group issued its stamp of approval.

Although faculty approval did not seem to be a major concern, all three institutions seemed to have staff support. Were there serious disagreements with the contents of these LRP, considerable controversy would have likely surfaced. The relatively passive attitude of faculty indicated to all three presidents the total acceptance of their LRP documents. Further, long range planning is primarily an administrative tool requiring faculty level input, but not necessarily approval. This instrument becomes a vehicle by which faculty wishes can become implemented at the upper administrative levels that control money and purpose.

The political importance of such a plan is significant even if only the visible effects are taken into account. The fact that new buildings, curriculum revision, and faculty development programs can trace their origins to the document suggests the importance of full institutional participation.
It seems likely that anyone interested in influencing the decision makers would be well advised to insert their thoughts into a written statement of this type, because there is a good chance that the institution will begin moving in that direction. The ultimate effect this document will have depends heavily on the commitment and understanding of those decision makers, once again emphasizing the importance of their involvement and support. Administrators should make every effort to better prepare themselves for long range planning, because the recommendations of the committee tend to be visible statements that do cause change.

**Limited Planning Expertise**

Regardless of the quality of the planning process, change does seem to occur because of long range planning. This, therefore, suggests that the better the overall effort, the more significant will be the changes and their effects.

Since most institutions tend not to have appropriately trained persons on their staff, it would seem important that the president closely supervise the selection of the planning group. He must not underestimate the power of the document nor the complexity of the process. Because long range planning in higher education is still relatively new, it is understandable that the president himself may not be adequately prepared. The changes that will occur because of the planning effort will be lasting, and should be executed through the most skilled people possible.
Educated people not aware of the various techniques and technologies already available will spend much time and energy either inventing techniques or simply begin planning from their own sphere of knowledge. Anyone attempting such a project as a future oriented educational plan would greatly enhance the likelihood of a significant statement by insuring the presence of at least one experienced long range planning expert.

Since most people in higher education are not likely to be experienced nor expert planners, some effort will need to be made to prepare them. It is likely to require specific training in this area and adequate periods of time to acquire this new knowledge. The minimal use of available planning techniques used by colleges in this study suggests that more effort must be made to expose the planning team to these techniques. Their time could be effectively spent evaluating their usefulness in developing the plan.

Since future planning does become an important change agent, it is critical for institutions of higher education to have a highly trained and skilled planning team. It is likely that this team will yield a far more significant document than a team with little or no experience. Based on the findings of this study it is likely that most colleges and universities do not possess such a team, nor the top administrative leadership who have the planning expertise.
Planning Expenditures

All the long range plans in this study took approximately one year to complete. When the professional time alone is calculated, this represents a significant institutional investment. Given this consideration, it was surprising to note that little effort was placed toward examining known knowledge or utilizing experts in the field. Even though funds were available to do so, no team actively sought to acquire additional training. This lack of interest in additional LRP training implies that college people believe they have the ability to do long range planning, or are reluctant to admit their deficiencies in this area. By the committees' own admission, their final documents left something to be desired, in terms of future projection.

Administrators would do well to conduct a cost-benefit-analysis prior to beginning the long range planning process to determine the real costs involved. These cost considerations should take into account actual out-of-pocket expenses, actual people time in terms of dollars, actual experience and knowledge each potential committee member would have, and the potential benefit the institution might receive from this effort. The analysis may indicate that institutions cannot afford to ignore the possible use of available outside resources (human and material), no matter what their origin. Institutions frequently only consider out-of-pocket costs because these are the items that appear on the
budget. A cost-benefit-analysis may indicate that the least expensive route is to utilize the best and most effective expertise available, not just the most available bodies.

Faculties are most familiar with institutional self-studies and are likely to rationalize a need to do this step first, prior to working on long range projections. If the school has not engaged recently in this self-examination, it may be important to do so. However, the administrative leadership must be clear that this type of study does not constitute a long range plan. Additional steps should be established so that the school does project into the future. If this is not done, it will be difficult to gain the enthusiasm of another group for the follow-up, and the expense of establishing this other group will be high.

Since long range planning is institutionally expensive, the administration should be careful to examine all costs and benefits, prior to embarking on this great effort. This careful scrutiny did not seem to take place at the three institutions used for this study.

Group Process

All groups formed for a particular purpose will evolve through a variety of stages until they understand the task and are able to feel comfortable with the process for completing the assignment. The time frame within which this operates varies according to the participants and the
complexity of the problem. It is critical that administrators have some knowledge about this process to avoid debilitating events that could occur. The group dynamics in all three cases studied affected both positively and negatively the progress of the group. The fact that the group did progress efficiently frequently could be traced to some individual who was able to focus the situation on the task at hand. Most faculties possess individuals who are able to guide group action, and these individuals should be given the prerogative to lead group interaction within the context of the committee.

It was interesting to observe that each LRP committee in this study went through several stages before completing the assigned project. One of their first needs was to get to know one another and to sort out the various roles people would assume. It was during this time that leadership was established and various individual roles became visible. Concurrently, the problem to be addressed was stated and generally clarified. At some point the group was solidified enough that it took the problem, and began to seek the vehicle to arrive at some solution. It was during this stage that the group frequently tested its authority, often manifested by challenging the president or the board of trustees. The administrative response to this challenge was critical because if handled wrong it could cause the planning team to divert its energy from planning to debating something like authority or motivation.
It is likely that groups will evolve through various stages, and must be allowed the time for this to happen. Administrators who are aware of these group dynamics can more effectively cause positive change. They are more likely to allow for the time, setting, and expertise to cause the necessary effective group dynamics to occur.

Planning Under Pressure

Roscoe Community College was the only institution that was planning because of some outside pressure situation. Their situation was made even more visible because of the variety of interests groups (i.e., board and community) wanting to determine the future of the college. It was clear that the president was being forced into a reactive posture rather than assuming a more commanding pro-active role. Even though he was able to maintain total control over the committee, the circumstances made it far more difficult to develop new free flowing ideas.

Operating a committee that is constantly being scrutinized can have a very negative effect on the planning process. As stated before, most committees need time to develop as a group and generally are not skilled in planning, therefore are not likely to be on firm ground during their deliberations. Constant questioning or challenging will likely cause them to assume a more conservative stance.

Committees formed by the president under a pressured
situation are not likely to be formed from a strength position. He may be forced to respond more quickly than is desirable, causing the selection process to react to the circumstances, rather than the task to be done. These crisis-oriented situations are often heavily political by nature and sometimes tend to distort the true picture of the time. Administrators responding to this may begin building the committee to resolve political issues, leaving the task to more or less resolve itself, which in the long run, does not provide for the best long range plan.

Administrators would be well advised to avoid crisis planning. The very nature of this orientation suggests problems that may have negative effects on the planning process. It is probable that committees formed under pressure situations will be less likely to have the proper balance than committees formed under pressure-free circumstances. It seems that key administrators should guard against being forced into crisis type planning. Should this type of planning be unavoidable, then even more attention should be directed at the reasons for putting someone on the committee.

Establish Revision Scheme

A totally correct five year projection scheme is still not possible. The institution can only hope to establish trends and new directions to meet the future needs of the society. This realization necessitates a constant
revision of whatever plan may be developed. Too often this dimension of planning is not included in the original design.

Although this seems such a basic idea, none of the three institutions visited for this study had actually implemented this objective. All three institutions, however, indicated in the planning process a need to re-evaluate their document as a yearly activity.

The long range planning process is an exhausting activity requiring many extra hours of commitment on the part of all individuals involved. These hours for most participants are in addition to normal working loads. The rewards are somewhat obscure and frequently not commensurate with the additional load. Although most people involved in this activity are supportive at the beginning, most are quite happy when the plan is finally completed. The majority of these planners are ready to turn the activity over to someone else after the year's events.

In addition, most plans include many items that may not be totally possible to fund or implement. These items are not very popular with those individuals that may be required to set them in motion, particularly if these persons were not directly involved in developing the recommendations.

It appears that the natural course of events will probably cause the plan to be set aside for a time, and unless specifically provided for, will not be automatically revised. All three institutions in this study intended to
revise their plans; none of them had actually begun the process after one year. Administrators must provide for the revision of the long range plan by establishing responsibility, the specific time line, and a mechanism by which results and new data can be provided to the committee.

Experts believe that a high level permanent committee, including the president and other key individuals, should have these responsibilities.

**Summary**

No attempt was made in this research to evaluate the importance or significance of the changes that occurred, or to prove that the plan actually caused the change. However, it was clear that many changes did occur at each institution, and frequently the planning document was the focal point of the discussion as to how the movement had been accomplished.

This study did affirm that positive changes in institutional goals and design appeared after completion of the document, and frequently the plan seemed to be the catalyst that caused realization of some idea. As a result of these findings it can be inferred that merely completing a long range plan (as defined in this study) will ultimately have an impact on the institution and therefore should not be addressed lightly by any educational leader wishing to establish his office as a change agent. The positive or negative value of the impending changes will likely be directly
proportional to the ability of key individuals to understand what did occur in the planning process.

The process of long range planning at institutions of higher education is a complex mixture of events and people. To presume to analyze all aspects of this activity would have been too much to imagine. The relatively narrow focus provided here at times seemed overwhelming and no doubt is not complete. It is hoped that these statements will provide the basis from which other thoughts and analysis can be added. It is clear that long range planning does have a positive effect on people and institutions, and therefore is worth the time and effort. It is also clear that administrators need to know far more than was obvious in this study, if they are to effectively guide this process. Their lack of training and experience in this area frequently limits the outcome of a substantial investment in institutional resources.

It was clear in this study that long range planning can become a tremendous influence with the board of trustees and other internal and external constituency of the institution. Therefore, any such effort should be approached with serious thought and deliberation.
CHAPTER V

CONCLUSIONS AND RECOMMENDATIONS

Summary of Procedure

The purpose of this study was to examine the long range planning practices at selected institutions of higher education, and to analyze the data so that specific conclusions and recommendations could be determined.

In order to accomplish this goal, it was necessary to define long range planning and to become familiar with the current literature of the field. The literature review provided a framework from which LRP trends and accomplishments could be established. The Glossary of Terms in Appendix G helped develop a vocabulary and working knowledge of the technologies being used in this growing profession of long range planning.

The field work for this study was conducted over a period of nine months and was limited to the nineteen state region of the North Central Association of Colleges and Schools. The study was further limited to those institutions that had completed a long range plan during the period 1970-1978, and could meet the specific criteria established by the prescribed LRP definition.

Three institutions of higher education were selected
from a total field of 559 colleges or universities whose enrollment was less than three thousand students. Each institution was asked to provide specific data concerning information relative to size, control, programmatic emphasis, and length of degree program. This inquiry resulted in 348 responses from college presidents or their designated representatives. Of the 348 responses, 89 indicated that no long range plan had been created since 1970, 218 indicated completion of a long range plan, and 41 were either in the process or simply did not agree with the definition as stated and were unwilling to submit a positive or negative response.

A second letter was mailed to forty institutions whose presidents had indicated adoption of a long range plan since 1970. These institutions were representative of the total field being studied and were selected from schools that represented the public, private, and parochial sections of higher education. Each college had a student population range from one to two thousand, including two-year community colleges, with program emphasis in the technical/vocational area; four-year liberal colleges; and four-year professional schools. Concerted effort was made to select institutions that were representative of the overall geographic make-up of the North Central Association of Colleges and Schools.

This second letter of inquiry requested a copy of the current long range plan for further analysis. A total of twenty-three institutions sent documents, which then formed
the basis for final selection of the institutions identified for the case studies which included one four-year liberal arts college, one four-year professional college, and one two-year community college with primary emphasis in vocational and technical training. The three institutions represented the eastern, central, and western geographical areas of the North Central Association. All three institutions had student populations of approximately one to two thousand students.

The presidents of each participating institution granted permission to conduct a case study of their long range planning process. Permission was also granted to examine written documents and to conduct in-depth interviews with appropriate administrative personnel, committee chairmen, trustees, and faculty members.

Each campus was visited for a period of five days to gather the necessary documentation of the long range planning process. A field tested interview instrument was used to focus the data collection; however, free and interactive dialog was encouraged. Great effort was made to record the events as described; however, the experience, insight, and bias of the researcher probably entered into the reconstruction of each planning process. The various primary source documents such as college catalogs, student publications, memos, announcements, public relations brochures, and minutes of the LRP committee meetings, were used to establish various
aspects of the institutional profile and to verify statements made by the persons interviewed.

Four basic questions provided the focal point for the data collection and subsequent analysis.

1. What processes and new technologies were used during the development and adoption of the long range plan?
2. What were the relationships of the actual processes and technologies used as compared to the literature?
3. What were the implications for curriculum development, staff development, and fund raising?
4. What were the administrative implications relative to the process and use of the new technologies?

Upon completion of the data gathering, a thorough analysis was conducted to ascertain the various processes being utilized by each institution to arrive at a long range plan. The analysis included an examination of the various methods used to complete LRP at the three institutions and compared the findings to the literature. The in-depth interviews were particularly useful in obtaining data that revealed specific implications of long range planning for curriculum development, staff development, and fund-raising.

Finally, the data were examined in terms of the administrative implications for future planning in education as they related to the procedures, political problems, and/or issues, and the new technologies being used in long range planning.
The conclusions drawn from the analysis followed a similar format (as used in the analysis), so that it was possible to concentrate on the original focus of this study. The following conclusions were developed from an examination of the use of new technologies in long range planning; the literature of long range planning; planning as a change agent for curriculum development, staff development, and fund raising; and the administrative implications relating to future planning in education.

Conclusions

Planning Technologies

1. This study did not reveal an extensive use of planning technologies. Only one out of the three institutions was using any sophisticated techniques to project future trends or goals.

It appeared that the available LRP techniques are not likely to be used unless someone on the committee or other available expert is present to highlight their value. The utilization of formalized planning teams or experienced planners at these institutions of higher education was not evident.

2. Only one institution made extensive use of outside resources, even though all three had access to this assistance. It appeared that academicians almost always believed they could create a comprehensive LRP in spite of the fact they were not trained in this area. Almost all
persons interviewed indicated, in retrospect, that they could have used some expert assistance. Long range plans developed by untrained planners tend to resemble self-studies more commonly associated with accreditation reviews.

3. The new planning technologies are not likely to be used unless the planning team is exposed to the wide variety of techniques currently available. The majority of people involved in planning as identified through this study did not possess an advanced planning vocabulary or information and generally did not feel comfortable using these techniques. They clearly did not possess the knowledge necessary to make adequate choices about using various projective techniques. The techniques they would identify tended to be already familiar items in their day-to-day activities.

Literature of Planning

1. This study confirmed the statements in the literature indicating that a high percentage of institutions of higher education are engaged in long range planning. Well over 62 percent of the colleges responding to this study indicated activity in this area. Most colleges appeared to recognize the need to examine various alternatives to the future, and have developed a process to create these plans. This study did not support the premise that these techniques have become highly sophisticated. There seems to be a large spread between the desire to do effective long range planning and the ability to actually accomplish it.
2. None of the three institutions in this study had adequate personnel, as described in the literature, to conduct a comprehensive future-oriented long range plan. It appeared that college administrators still placed heavy reliance on existing expertise within their own faculty or administrative staff. It seemed to make little difference that these persons have had little or no formal training or experience in future-oriented educational planning. The literature implies far more expertise on faculty and administrative teams than is currently available. This study indicated a lack of the needed expertise to conduct the sophisticated planning designs suggested by various educational leaders. None of the three colleges had reached an advanced state of planning.

3. Two out of three institutions in this study were preoccupied with process and internal inputs which limited the final outcome of their long range plan. Only one college focused on forecasts and desirable future states suggested by the literature, as being the more advanced second generation planning level. However, it must be noted that even this future-oriented planning level could be traced to primarily one individual on the planning team. Although some improvement in overall planning ability was identifiable, this study did not reveal a concerted effort toward planning that centered on forecasts and desirable future states.
4. The literature was divided between suggesting a heavy reliance on technologically based information manipulation and the more process output orientation. This study revealed a heavy dependence on the process model more common to academic institutions. Approximately 90 percent of the people interviewed during this study believed it important to involve the total academic community in planning. Their concern for projective techniques and the hardware to implement them was secondary.

5. This study indicated a lack of specific long range planning expertise among college administration. Less than 10 percent of the key administrative personnel could identify specific training in this area, nor could they specify any significant amount of experience in future planning. The literature also indicated a lack of long range planning expertise among college administrators and further identified a detachment among middle managers toward the concept of future planning. Many of the administrators contacted during this study were far more concerned about their daily routines than actively pursuing or supporting distant pay-offs not easily identified. It appears that key administrators are often expected to have planning expertise; however, personal background and training frequently do not provide this professional dimension. This study suggested the need to supplement administrative expertise with planning information from other sources.
6. The literature relates to the powerful political implications of a project like LRP on any institutional structure. This study indicated that each planning group was allowed considerable latitude to develop recommendations that influenced the decision makers. The concurrent interaction with faculty and administrators caused ideas to be recorded and later implemented. The power of the written document caused institutional changes that could be traced to the overall planning process.

The time line and expertise of the planners frequently limited the input received from the overall institution. The strength of the recommendations often relied on the process of generating new ideas. Individuals that became actively involved in the planning process were more likely to have their thoughts integrated into the document than those that assumed the planners would seek their advise. Anyone seeking to influence institutional patterns would be well advised to become actively involved in the total planning effort.

Implications for Change

1. Long range planning causes change to occur in curriculum development, staff development, and fund raising. This study identified specific changes in all three areas at all three institutions, regardless of the sophistication of the planning process. The discussions and debates generated by the planning team led to further discussions and
debates at other levels of the college hierarchy. In each case the planning effort enabled a new focal point for initiating change, and allowed people to interact around issues they believed required attention. In all three cases studied, new efforts in the areas mentioned above could be identified that occurred after the planning period which were directly traceable to the LRP project. Some of these efforts were not significantly attended to in the final document projections, but were considered important by various individuals to the well being of the institution.

2. Major fund raising efforts require the completion of a long range planning document. Two of the three institutions in this study initiated a major capital campaign within one year of completing their long range planning. In each case the planning document played an important role in demonstrating the viability of the school through a well articulated statement of a mission and future intention. Statements from the final planning document were frequently used in publications of the development office and presentations made by faculty and administration. The document was a means of credibility with prospective donors, frequently referred to by the development officers. It seemed particularly important for the fund raising team to be able to boast about an effective faculty and administration that had the ability to make long term contributions to the college constituencies.
Administrative Implications

1. All three of the presidents polled in this study believe long range planning to be critical to the effective growth and development of their institution. The high rate of interest and response to the initial letter of inquiry indicated the level of activity in this area. All three presidents interviewed for this study expressed the importance of future planning and indicated their interest in generating attainable goals for the institution they represented. Although this study was limited to smaller institutions in the North Central area, it is probable that this level of interest is widespread among colleges and universities in the United States. Because of the need to systematically project future trends, institutions of higher education will likely be allocating a greater percentage of their institutional resources toward this effort in the near future.

2. The process for developing an effective long range plan was not always clear to the chief administrative officer. All three presidents interviewed for this study appeared sincere in their desire to develop an institutional plan that would serve the college well. However, their lack of training and/or experience in this area often caused problems in reaching this goal in the most efficient manner. It was evident that none of them had formal training in future planning and only limited exposure to group process.
Their academic backgrounds did not effectively prepare them for their task. In retrospect each president indicated that much of what they did to facilitate the planning process was instinctive or derived from interaction with other administrators or faculty. Two of the presidents indicated that it would have been helpful to have more specific guidelines about future planning to adapt to their needs, prior to starting the project.

3. College administrators and faculty possess a negative attitude toward structured systematic planning, even though they support the concept of long range planning. This negative attitude was evident throughout the study in that approximately 70 percent of the people interviewed tended to relate to immediate needs rather than those perceived to be important at some distant point in the future. The documents reviewed for this study were limited in their projections and closely resembled institutional self-studies generally developed for accreditation reviews. The long range planning efforts frequently bogged down when it was necessary to generate new institutional data. Little evidence could be found that the schools had developed the means to store and retrieve important data for planning. All three institutions in this study formed an ad hoc committee for the planning project and none had established a permanent group to continue the efforts. At the time of this study no plans were being actively revised.
4. **Long range planning is an important political tool that is frequently not understood by faculty and administration.** The final document contains many statements that are perceived to be institutional goals and directions by the board of trustees, donars, and various other constituencies of the school. Discussions with board members indicated that they would support or not support various programs based upon the statements made in the document; the implication being that new ideas may never be implemented if no support is present in the planning design. New programs well placed in the future projections of the school often gain important support from the decision makers.

The lack of significant involvement by the total college community can place the future of the institution in the control of a few individuals. Faculty and administration should focus clearly on the impact of a well articulated long range plan on the institution. It is probable that once the long range plan has been broadly accepted, the stipulated goals are likely to cause positive change in that direction.

5. **College educators believe they have the ability to do effective long range planning, even though they lack formal training or experience in this area.** Three out of four people interviewed for this study did not believe it important to have specific training in long range planning. They indicated that their knowledge about the institution
and their advanced education would provide the collective expertise to do long range planning. However, this study indicated relatively unsophisticated planning techniques being used in two out of three institutions. The efforts put forth by the planning teams reflected the level of their expertise in this area. Most people indicated, in retrospect, that they would probably want more information on planning techniques, were they to attempt such a project again. It is likely that presidents should insist that certain expertise be available on the team and should provide special training to those team members with no expertise in long range planning.

6. The planning climate will have a direct influence on the final document. In all three cases, the conditions under which planning was conducted did have an effect on the planning team and final document. The institutional climate will likely affect either positively or negatively the attitude of the faculty and administration thereby influencing their involvement in the total process. This study indicated that when planning was done under a pressure situation, more tension was present, causing greater mistrust and frequently the need for imposing stronger controls. When openness and cooperation predominate, more freedom existed to explore new and creative ideas. The heavy climate of mistrust or a "this task must be done" attitude, tended to inhibit the free flow of ideas. Planning under
undue pressure should be avoided. When the president holds the confidence of faculty, administration, and board, the institutional climate is more likely to generate a planning process that will enhance a long range report.

7. Planning teams formed on an ad hoc basis will evolve through several stages prior to being able to function as a task oriented group. All three planning teams evolved through similar stages of development. These stages ranged from becoming acquainted with one another to determining the actual power of the group. It was during these various beginning stages that considerable knowledge about group dynamics would have been useful. Skilled leadership in this area would help form the group relationships more effectively and would minimize individual friction. Administrative leaders who are aware of group dynamics can more effectively cause positive movement of the planning team. It was not apparent that the group's needs were being consciously attended to throughout the three planning cases. It seemed that events occurred and were responded to, without understanding the reason or dynamics behind them. Debilitating events were generally worked out because someone on the team could effectively respond to the group needs. This process was often time consuming and not very productive in terms of planning. These stages are likely to occur with any newly formed group and should be allowed the appropriate time and space to evolve. Administrators who understand
group process will likely provide for a planning climate that is more conducive to accomplishing the task.

8. **Faculty approval of the long range planning document did not seem important to the final acceptance and/or implementation of the report.** Only one of the three colleges in this study presented the document for faculty vote and approval. In this instance little discussion was evident and the final vote seemed to have little significance to the faculty. Most people interviewed indicated that their trust in the process and/or the planning team made the final vote merely a formality. It was unlikely that if there was great disagreement with the report, that much could have been done about it at this late stage. Also, many faculty members perceived the LRP to be more of an administrative tool than a faculty plan for implementation. The two colleges that did not present the document for faculty vote, did not seem to suffer any negative affects. In each case the planning committee involved teachers in the planning process which seemed to meet faculty needs.

9. **Lack of widespread knowledge about the contents of the long range plan limited the usefulness of the final document.** Although all three institutions made copies of the long range plan available to the total college community few people, outside of the top level administration and the planning committee, knew much about the contents of the document. It appeared that faculty involvement was limited
and did not project an in-depth understanding of the total planning report. Much of their involvement was around specific issues that may have concerned them, but generally this interest did not seem to transfer to the broader institutional needs. In some instances administrators were not actively pursuing goals established in the document, which almost always could be traced back to their low level of involvement, and professional investment. Administrators concerned with change based upon long range planning need to develop ways of keeping the final report actively in the minds of a large portion of the college community; otherwise much of the original planning may never be implemented.

10. Administrators must accurately assess the actual cost of LRP and place emphasis on the appropriate means to accomplishing the task. It was not always clear that the top administrative officers had determined the actual cost of such an effort as long range planning. It was easy for them to identify costs for secretarial staff, special meeting sites, and paper, but rarely could they articulate the costs involved through time involvement of the total planning team. Further, it was not always clear what the planners perceived as the final pay-off for the time and energy devoted to the project. It is likely that administrators should spend time determining the cost-effectiveness of such a great effort before starting the project. The projection of real costs may help call attention to the need for distant
pay-offs that will justify the great institutional expenditure. This careful scrutiny may also demand that more effort be placed in developing sophisticated expertise to improve on the efficiency and effectiveness of the total planning process.

11. **Outside planning expertise may be necessary to supplement the in-house planning efforts.** None of the three institutions investigated for this study had the necessary staff nor systems developed to conduct the type of long range planning described in the literature. If this condition exists in most college communities, it will be necessary to train a substantial number of people on the intricacies of future planning. The fact that most educators interviewed for this study believed they were equipped for the task further reinforced the need for outside expertise. The introduction of outside experts could off-set the sharing of ignorance frequently associated with limited knowledge about a particular topic. Administrators interested in planning should assess the available institutional talent and supplement this group with knowledgeable people as needed. It should not be assumed that highly educated people have the required expertise to do long range planning.

**Recommendations**

**From the Study**

Presidents of colleges and universities must become
more aware of the total long range planning process and should adequately prepare themselves to understand the complexities of conducting sophisticated educational planning. The future of higher education will depend upon accurate information to determine programmatic trends. Those college and universities that can identify future needs will continue to make significant educational contributions. Institutions building on inappropriate information will likely dwindle in number.

Based on this study it is recommended that college presidents about to engage in long range planning should:

- adequately train themselves for the task.
- hire experts as necessary to supplement available expertise.
- provide a training program for the identified planning team, and the administrative personnel to be involved in planning.
- investigate thoroughly the cost-effectiveness of the project.
- assess the institutional climate to determine the optimum time to conduct the planning.

When planning is to be conducted it would be important to focus attention on:

- the rationale for inviting individuals to participate on the planning team.
- the specific model and strategy for developing the final document.
- the dynamics of group formulation and operation.
- the political importance of a long range planning document.
the data that will be needed and how the information will be obtained.

While the planning is being conducted the chief administrative officer should:

- maintain control of the process.
- allow adequate time for the planning team to form as a working group.
- provide necessary support to the planning team.
- encourage broad institutional involvement in the total planning process.
- seek outside data and response to the long range plan.

Upon completion of the planning effort each college or university should:

- encourage widespread institutional knowledge of the long range plan.
- provide for continual document review and revision.
- determine the need for on-going institutional planning.
- assess the political impact of the document on the institutional constituency.
- further validate the final recommendations based upon such items as institutional needs, demographic and economic trends, and social expectations.

Long range planning is a complicated process requiring a significant expenditure of time, energy, expertise, and money. The importance of such a project emphasizes the need to carefully evaluate the available levels of knowledge and the need to supplement planning ability when necessary. It is recommended that administration responsible for the
future of their institution carefully assess their ability to conduct long range planning; it may prove to be the most important aspect of the planning effort.

For Further Study

As most studies of this type, many questions surfaced that could not be adequately answered. The most persistent of these was the question relating to the human aspects of the planning process. Even now little is known as to why educated people resist organized systematic planning; or why these same people engage in LRP and then spend countless hours debating issues that might well be discussed at the department level; or why they would agree to work on such a comprehensive effort with little or no knowledge of how to proceed. Further research about why educated people resist organized systematic planning may prove helpful to persons contemplating this type of project.

Another major area of interest was the readiness and/or ability of the chief administrative officer to conduct a project of this magnitude and type. This study indicated that most college and university presidents believe it important to develop a comprehensive long range plan, yet an examination of their academic preparation and administrative experience did not support their readiness or ability to do the necessary job. Most people interviewed assumed the president could lead the process, and did not question his
ability in this area. This study suggested that administrators at all levels of the college hierarchy were perceived to have LRP expertise, but in reality most were not adequately prepared. Research should be conducted to determine the ability of college presidents and other administrators to do long range planning and to determine what educational agencies are doing to help prepare administrators for their task.

A third area of interest surfaced relating to middle managers (i.e. administrators). It seemed that in an attempt to respond to the board of trustees, and the faculty, the chief-executive officer frequently did not effectively utilize the middle management team. This group often voiced its concern about having to implement ideas someone else generated, without those decision makers having the necessary information to generate the recommendation. Their non-support of the final document could often be traced back to comments of "being left out," or "not being consulted on crucial issues." Yet in no instance did this seem to be an intentional move on the part of the committee or the president. Useful information might be generated if this group could be studied in terms of their potential contribution to the LRP process, be they actual or perceived.

A fourth area of curiosity surfaced when it was discovered that most people in this study were not adequately prepared to do long range planning. A seemingly natural
extension of this awareness was the use of consultative experts. Whenever this possibility was discussed, considerable resistance to the use of these experts seemed to surface. It was not clear as to why this situation existed. Further research could help determine why college faculty and administration resist use of outside consultants.

Finally each president, in retrospect, indicated that additional information about long range planning would have been helpful. It may be useful to determine from college presidents and their top administrative officers, who have gone through comprehensive long range planning at least once, what information and assistance would have been helpful to more effectively and efficiently complete the project. Suggestions offered so far have included such items as a resource guide and a full team of long range planning experts.
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BIBLIOGRAPHY


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McGivney, Joseph H., and Hedges, Robert E. An Introduction to PPBS. Columbus, Ohio: Charles E. Merrill, 1972.


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APPENDIX A

INTRODUCTORY LETTER AND
INITIAL QUESTIONNAIRE
November 30, 1978

Dear

National College of Education, like many institutions of higher education, is particularly interested in the future of education. During the past few years this college has attempted to develop effective long range plans that would be consistent with the predictable needs and directions of higher education and the current and future goals of this institution.

Sophisticated long range planning models and procedures are being used more frequently and will become critical to educational planning in the future. It is also apparent that many institutions have attempted to develop long range plans which have yielded little or no benefit to their future directions. Frequently the political, time, and financial pressures have minimized the final output of their plan.

In an attempt to assess and collect data relevant to the current state of Long Range Planning, E. Arthur Stunard, Director of Learning Resources at National College of Education has developed a research project to assess current practices and procedures being used in higher education. Your cooperation is vital to this process and I hope you can find some time in your busy schedule to assist. The final report will be available to each participating institution and any information provided will be considered confidential and will be treated as such.

Attached is a brief questionnaire designed to assess the activity of Long Range Planning in Higher Education. Please supply the information requested and return in the pre-paid self addressed envelope as soon as possible.

Sincerely,

Orley Herron
President
Long Range Planning at Institutions of Higher Education

1. Institution:
   Complete Name
   Street Address
   City    State    Zip

2. Person Completing Questionnaire:
   Name
   Title
   Phone    (    )    Area Code    Extension

3. Student Enrollment:
   0 - 500 __________  500 - 1,000 __________
   1,000 - 2,000 __________  2,000 - 3,000 __________
   More than 3,000 __________
   If more than 3,000 indicate approximate enrollment __________

4. Institutional Affiliation:
   Public _______  Church Related _______
   Private (Non-parochial) _______  Other _______

5. Program Emphasis:
   Professional _______  If professional indicate area
   Liberal Arts _______  Education _______
   Technical/Vocational _______  Medical _______
   Other _______  Legal _______
   (please indicate) _______  Other _______
   Indicate area of primary emphasis
6. **Definition:**

For purposes of this study an institution has engaged in long-range planning when it has generated a written document which results in an overall institutional master plan that:

a. Covers a future period of 3 to 10 years.

b. Identifies a clearly defined committee structure and/or procedure that allowed for representation from all levels of the hierarchy and various departments within the institution.

c. Illustrates a clearly defined process through which the total planning has evolved and dealt with such areas as institutional: (a) Philosophy, (b) Objectives, (c) Programs, (d) Organizational Structure, (e) Staffing, (f) Facilities, and (g) Financing.

d. Proposes specific recommendations to be implemented in the future based upon the data generated by the overall planning process.

Based upon this definition, do you believe your institution has generated a long range plan any time during the past eight years?

Yes ________ No ________

Please return this questionnaire in the pre-paid self-addressed envelope to:

E. Arthur Stunard, Director of Learning Resources
National College of Education
2840 Sheridan Road
Evanston, Illinois, 60201

Phone: (312) 256-5150

11/30/78
# QUESTIONNAIRE RESPONSES

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APPENDIX C

LETTER REQUESTING COPY OF
LONG RANGE PLAN
January 25, 1979

Dear [Name]:

Thank you for responding to the questionnaire sent to you in December, 1978, relative to the research I am conducting on the current "state of the art" of long range planning at institutions of higher education. I am pleased to report that a significant number of institutions responded favorably to the survey, resulting in a very high rate of return.

The second phase of this research requires analysis of actual long range plans to determine the nature of the processes currently being used. Your assistance at this point is vital.

Your institution has been selected as representative of the total field being examined. It would be most helpful if you could provide me with a copy of your current long range plan for further analysis. If this is possible, I will assume responsibility for all costs of mailing and/or duplicating, and the safe return of the document after the analysis has been completed.

The document should be sent to:

E. Arthur Stunard  
College Library Center  
National College of Education  
2840 Sheridan Road  
Evanston, Illinois 60201

Please be assured that any information you may share will be considered confidential and would be treated as such.

Thank you for your support.

Sincerely yours,

E. Arthur Stunard  
Director of Learning Resources
APPENDIX D

LETTER REQUESTING PERMISSION
TO STUDY THE INSTITUTION
February 28, 1979

Dear 

Thank you once again for your interest in my study on long range planning. I very much appreciate your willingness to be of assistance.

During the past three months I have been attempting to identify three institutions that could be studied in depth to determine the specific procedures which were used in developing their long range plan. The purpose would be to compare these processes with what has been done in the past to establish new trends and directions that could be of value to other institutions of higher education. Because of this focus, the actual content of the plan is not critical.

I have surveyed approximately 550 institutions in the North Central Association area and have narrowed the search to a very select group of colleges that seem to be doing long range planning based upon something other than a traditional model. Your institution continues to be of interest to me in that you apparently are deeply involved in future planning, and believe the effort (considerable, I'm sure) to be of value.

The next step for me is to identify two or three colleges that would allow me to conduct a case study of their procedure. This would involve some examination of the total planning process, interviews with key people, and analysis of written documents leading to the final long range plan. Since this will all be done by me, I can guarantee total confidentiality in terms of sensitive areas. If anonymity is desirable, that too can be preserved. All the information developed will become part of a dissertation report and will conform to normal research privileges and constraints. It is my hope that this effort will contribute new and valuable information to the academic community.
If you would consider becoming one of the institutions to be studied, I would welcome the opportunity to further explore this possibility with you. Your institutional involvement will not result in any direct expenditures. However, some staff time will be needed to complete the overall analysis. I will do my best to keep this at an absolute minimum. Because I believe long range planning to be a valuable activity, I am willing to invest the time and money to develop a comprehensive report on the current "state of the art."

Please let me know if I may call you at your convenience to discuss any questions you may have.

Sincerely yours,

E. Arthur Stunard
Director of Learning Resources
APPENDIX E

INTERVIEW SCHEDULE
An Analysis of the Long Range Planning Processes being used in Selected Institutions of Higher Education

Part I Interview Schedule

Date of Interview: ___/___/___ Time: ______ to ______

Name of Institution

Person being Interviewed

a. Title: ____________________________________________

b. Address: ____________________________________________

City State Zip Code

c. Telephone: ____________________________

Area Code Number Ext.

Personal Data:

a. How long have you been in your present position? Years ______
b. Which word best describes your knowledge of the Process of Long Range Planning at this institution? (Check one) ___ expert ___ much ___ some ___ little or none
c. Which, of the following best describes how your knowledge, regardless of level, was acquired? (Check one) ___ Served on actual committee that formulated the final recommendations and plan. ___ Participated in plan development at various stages, however was not responsible for the final overall document. ___ Learned about final document through discussion with others. ___ Read the published document.
d. Other ___________________________________________________________________

How long did it take to complete the Long Range Plan? ______

Other pertinent information, if any: ____________________________________________

______________________________________________

______________________________________________

______________________________________________

277
Part II

What is your definition of educational planning?

Who is the major planner or force behind future planning efforts at this institution and why?

Who should be the major planner at this institution and why?

How much time is spent in long range planning?

by you:

institutionally:

What are some major arguments in favor of educational planning?
Part III

Your response is solicited in terms of your appraisal of, opinion of, or attitude toward each question. The focus of your response should be from the perspective of your position.

When the long range planning process was begun, was the purpose clear to you?

____ Yes If yes, what was the purpose of the long range plan?

____ No If no, what was unclear about the purpose of the long range plan?

Did you clearly understand the procedure to be followed in developing the long range plan?

____ Yes If yes, what was your understanding of this procedure?

____ No If no, what was unclear about the procedure to be used to develop the long range plan?

Was the base of participation broad enough to insure adequate data from the many constituencies of your institution?

____ Yes If yes, describe the participation.

____ No If no, indicate how the participation could have been improved.
Were there any specific techniques or technologies used to gather and analyze the necessary data?

__ Yes  If yes, describe the one you recall.

__ No  If no, would you suggest any techniques that could have been helpful?

Are you aware of any specific institutional constraints that prevented the long range plan from becoming comprehensive and effective?

__ Yes  If yes, describe the institutional constraints.

__ No  If no, indicate why you believe there were no institutional constraints; what prevented them?

Did institutional politics interfere with the development and implementation of the long range plan?

__ Yes  If yes, describe the nature of the political interference.

__ No  If no, what are the reasons you believe institutional politics did not interfere?

Do you consider the effort and resources spent on the long range planning document to be worthwhile and productive?

__ Yes  If yes, what was particularly valuable to the institution?
No If no, why?

- Do you believe this plan will eventually become fully implemented?
  Yes If yes, why?
  No If no, why?

- What input was solicited from the various levels of the institutional constituency? Please describe.
  - Governing Board
  - Administration
  - Faculty
  - Students
  - Alumni
  - Other

- What institutional constituencies will derive the greatest benefits from the long range plan?
  - Governing Board
· In what ways, will the long range plan affect the curriculum of this institution?

· In what ways will the long range plan affect faculty and staff development?

· What effect will the long range plan have on overall institutional fund raising?

· What were the greatest weaknesses in the procedures used to develop the long range plan?
· What were the greatest strengths in the procedures used to develop the long range plan?

· To what extent would you encourage the further development of long range plans at this institution?
APPENDIX F

LETTER ARRANGING

SITE VISITATION
May 30, 1979

President

Dear ________:

Thank you for your willingness to have me visit __________ to complete my study on the process of long range planning. As I mentioned to you on the phone, much seems to have been written about the structure of long range planning but little is available about the actual process and its effect on the final document. It is my hope to identify whether the process contributes substantially to a planning product.

In order to accomplish this, I plan to complete a case study on three separate institutions selected from a field of over 550 colleges and universities in the North Central Association area. ________________ is one of those representative institutions.

At this point I would appreciate the opportunity to:

1. Review all pertinent college literature to help me develop a complete institutional profile.

2. Review available documents that lead up to and include the basic long range document you have developed.

3. Interview key individuals that were an integral part of the planning team. It would be important to include the president and his first line administrative staff, a representative from the governing board, and selected faculty members, alumni, and students.

In order to accomplish this, I will make myself available on your campus for up to five days, preferably during June or July. I believe that each interview can be accomplished in about one hour, and can be scheduled at a convenient time during the visit. Review of the available documents will be done between appointments.
May 30, 1979
Page 2

Your support in this endeavor is significant, and I shall do my part to use this allocated time wisely and effectively. I will stay in contact with you by phone as we finalize the necessary arrangements.

Sincerely yours,

E. Arthur Stunard
Director of Learning Resources

EAS:dl
cc: Administrative Assistant
to the President
APPENDIX G

GLOSSARY OF TERMS, MODELS, AND TECHNOLOGIES USED IN LONG RANGE PLANNING
GLOSSARY OF TERMS, MODELS, AND TECHNOLOGIES USED IN LONG RANGE PLANNING

Algorithm. A procedure for problem solving or information processing in which each step in the process is prescribed and specified beforehand.¹

Bayesian Statistics. A systematic method for making statistical inferences about an uncertain future and for making personal beliefs of decision makers.²

"Black Box" Model. An analytic model which focuses on the outcomes of a system as resulting from system inputs and system processes, and which presents feedback as the evaluative component providing for system modification and/or system improvement.³

Brainstorming. The pooling of ideas and information from a


homogenous or heterogeneous group of people for the purpose of solving a problem or set of problems.\textsuperscript{4}

\textbf{Charrette.} The pooling of ideas and information from a heterogeneous group of people in order to solve a problem or set of problems.\textsuperscript{5}

\textbf{Coherence Maintenance.} The process by which planners identify and take into account all components of relevant systems and subsystems in prescribing a future course of action. The careful integration of those components.\textsuperscript{6}

\textbf{Cohort Analysis.} A method by means of which the decline in the size of a cohort (a group of people formed at some point in time) is projected through the use of a mathematical model.\textsuperscript{7}

\textbf{Collective Innovative Decision Model.} A type of authoritative/participative model, developed by Rogers and Shoemaker, which defines the stages by which decisions can be made collectively. The five stages are (1) stimulation, (2) initiation, (3) legitimation, (4) decision, (5) action.\textsuperscript{8}


Communications Model. A model developed by C. W. Churchman which "accounts for (1) organizational communication network(s), (2) knowledge of the goal direction processes of organizational control, and (3) knowledge of goal-changing processes." ⁹

Comprehensive Analytical Methods for Planning in University/College Systems (CAMPUS). A prediction model used to calculate staff, space, and financial requirements of an educational institution for the support of its students' needs over a period of several years. This model is usually employed in large research universities. ¹⁰

Conceptual Process Model. A corporate planning model in which three categories of plans--strategic, corporate development, and operations--are identified with a comprehensive "system of plans." This categorization is designed to clarify levels in planning and to identify areas of responsibility within management. ¹¹

Contextual Mapping. "A graphic display of the logical and causal dependencies of functionally related phenomena." ¹²


Cost-Benefit Analysis. A management tool which compares alternative courses of action through the consideration of two factors: the cost in terms of required resources and the benefit in terms of the objectives to be attained.13

Costing and Data Management System (CADMS). A comprehensive software package which can be used to perform historical cost studies or to predict future institutional costs. Certain CADMS modules can also be adapted to other uses (e.g., faculty work load analyses, induced course load matrices).14

Critical Path Method (CPM). A planning technology which involves (1) the formulation of an operational objective and the outlining of a time sequence order for tasks necessary to its accomplishment, (2) the identification of tasks (and the amount of time each task will consume) on a flow chart, with "critical Paths" (tasks that require time while other tasks must wait) singled out, (3) revision of the flow chart to adjust inefficient procedures and to reduce estimated time for critical paths, (4) comparison of planned performance with actual performance, and (5) continuous review.15

Cross Impact Matrix. A forecasting method in which the probabilities of interrelated events can be adjusted in light of potential interactions among the events.¹⁶

Cybernetics. A branch of learning which deals with the comparative study of communication and control in information-handling machines and living organisms.¹⁷

Delphi Technique. A method for pooling and tabulating the judgments of experts by gathering responses to a series of successive questionnaires.¹⁸

Dynamic Programming. A mathematical technology for solving multi-stage planning problems. The essence of the technique is that it takes into account the effect of changes in previous stages on present and future stages.¹⁹

Fault Tree Analysis. A technique for analyzing the most probable modes of failure in a system and for accomplishing system redesign. The technique usually proceeds by means of a tree-like diagram, with the "undesired event" (UE) at the top of the tree, and the events contributing

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¹⁹Models for Planning, p. 2.
to the UE represented as branches spreading downward. 20

Feedback. The use of a portion of the output of a system as an input in order to determine how well actual performance matches planned performance and to readjust the system accordingly. 21

Flow Chart. A graphic representation of a plan which shows the interrelationships of all actual or projected events. 22

Forecasting. The systematic identification of future trends and alternatives to aid planners in the formulation of desirable programs and plans. 23

Formative Evaluation. Evaluation procedures used to measure degrees of success in ongoing activities. Such an evaluative technique can also provide criteria for changing the processes or procedures within a system. 24

Futurism. A field of study concerned with predicting future trends and events and with developing sets of "alternative futures" (different, sometimes contrasting,


21Hostrop, Managing Education, p. 239.

22Ibid.


representations of future conditions based on extrapolations of the present or probable occurrences in the near future). 25

**Gaming.** A simulation technique involving choices among alternative strategies by a number of players, under predetermined roles, and with a set of end conditions with which payoffs are associated. 26

**Growth Analysis.** A technique in trend analysis used to analyze the generation of a process. The outcome is often an "S" curve, describing the growth of a process from pre-initiation to post-completion. 27

**Heuristic.** "Pertaining to exploratory methods of problem solving in which solutions are discovered by evaluation of the progress made toward the final result. Contrast with algorithm." 28

**Heuristic Programming.** A means of using computers to simulate the human problem-solving process. A number of separate tasks that could be used in problem-solving are stored in the computer, but the specific tasks to

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26 Hostrop, Managing Education, p. 239.


28 Hussain, Development of Information Systems, p. 394.
be performed are not predetermined. The simulation process itself identifies appropriate tasks and task-sequences.\textsuperscript{29}

Higher Education Long-Range Planning Translator (HELP/PLANTRAN). A system of computer software designed to assist administrators in planning and analysis. The unique feature of PLANTRAN is that it requires no computer programming expertise.\textsuperscript{30}

Induced Course Load Matrix. A "four-dimensional lattice structure containing, in each cell, the course load induced on each department of an institution by an average student major of each type." ICLM is useful in showing which departments serve primarily their own students and which tend to serve students from other fields. It also has a utility as a predicator: administrators can forecast future student distribution in various fields, credit hour production of each department, and related factors.\textsuperscript{31}

Input. Resources used to achieve selected or defined results, or outputs.\textsuperscript{32}

\begin{itemize}
\item \textsuperscript{29} Hostrop, Managing Education, p. 239.
\item \textsuperscript{30} Midwest Research Institute, An Introduction to PLANTRAN II (Bethesda, Md.: ERIC Document Reproduction Service, ED 085 821, 1972), p. 3.
\item \textsuperscript{31} Gaunt and Haight, "Planning Models," pp. 309-10.
\item \textsuperscript{32} Joseph H. McGivney and Robert E. Hedges, An Introduction to PPBS (Columbus, Ohio: Charles E. Merrill, 1972), p. 132.
\end{itemize}
Levin's Polity Model. A conceptual model developed by Henry Levin that indicates the impact of changes in the organized society (the "polity") on educational goals and financing, on nonfinancial resources (e.g., personnel), on the processes by which resources are mobilized and coordinated, and on the social, economic, and political results of educational processes. 33

Linear Programming. A mathematical technology for optimizing resource allocation when restrictions are such that not all activities can be performed optimally. 34

Lippet, Watson, and Westley Problem-Solving Model. A process for planned problem solving that moves through seven phases: (1) development of a need for change, (2) establishment of a change relationship, (3) clarification or diagnosis of client system's problems, (4) examination of alternative routes and goals; establishment of goals and intended actions, (5) transformation of intentions into actual change efforts, (6) generalization and stabilization of change, (7) termination of relationship. 35

Management-by-Objectives (MBO). A process by which members of an organization identify common goals, define areas of responsibility, and assess the effectiveness of

33 Zaltman et al., Dynamic Educational Change, pp. 54-55.
34 Hostrop, Managing Education, p. 240.
35 Zaltman et al., Dynamic Educational Change, p. 69.
take part in a decision-making process that moves through several cycles and culminates in an election.  

Mission "Crosscut" of Functions Model. A corporate planning model which offers a visual representation of interrelations among various areas of corporate function and the organization's strategic plans.  

Model. A representation, usually by means of mathematical or graphic symbols, of a set of relationships thought to define a real-world situation.  

Monte Carlo Technique. A statistical planning technology in which probabilities of separate events are merged with previous events to yield a composite picture of the situation and to provide an appropriate but workable solution to the problem under study.  

Morphological Analysis. An approach to problem solving, developed by Zwicky, that consists of (1) precisely identifying a problem, (2) adopting a morphological perspective, i.e., viewing every problem as a complex of structurally interrelated objects, phenomena, ideas, and concepts, (3) employing an unbiased attitude, (4)

41 Casasco, Corporate Models, p. 12.
42 McGivney and Hedges, Introduction to PPBS, p. 132.
systematically elucidating all alternative solutions.  

Needs Assessment. A systematic approach to the identification of needs.  

"Nesting" of Plans Model. A micro-planning model which uses a "tree" presentation format to indicate areas of management responsibility and to offer a breakdown of plans and subplans.  

Objectives. Explicit and measurable goals which specify the quality and quantity of output(s) within given time limits.  

Operational Gaming. (See "gaming.")  

Operations Research (OR). The application of scientific methods to problem solving, with a view toward providing a quantitative basis for arriving at an optimum solution to a problem.  

Optimal Decision-Making Model. A resource management model, developed by Cooper, which used the computer program

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46 Casasco, Corporate Models, pp. 5, 12.  
47 McGivney and Hedges, Introduction to PPBS, p. 132.  
MPSX and a prepackaged linear program, SIMPLEX, to provide a medium-sized urban university with the means for optimal planning of budget and faculty mix. ⁴⁹

**Optimization.** "A strategy to maximize objectives." ⁵⁰

**Output.** Expected or actual result(s) of an activity or process. ⁵¹

**Output Analysis.** A comprehensive management model developed by Optner and designed to bring systems analysis techniques to bear on the control functions of organizational decision-making. ⁵²

**Planning-Programming-Budgeting Systems (PPBS).** An approach to management planning which emphasizes the allocation of resources in terms of outputs or specific programs. Both resources and programs are projected over a period of several years. ⁵³

**Political Decision Model.** A systems model of group decision-making developed by Easton and designed to clarify group

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⁵¹ McGivney and Hedges, Introduction to PPBS, p. 133.


⁵³ Hartley, Educational Planning-Programming Budgeting, p. 76.
decisions on the societal, as well as the organizational level. 54

Process Model. A three-stage model for educational planning which proceeds by (1) defining the mission by assessing the environment and setting goals and objectives, (2) integrating plans on departmental, divisional, and district-wide levels, and (3) providing information for decision-making to accurately reflect district capacities and school/community needs. 55

Program Evaluation and Review Technique (PERT). A technology for planning, controlling, and evaluating complicated projects which can be broken down in terms of component parts, time, and cost. A critical path technique is used to identify potential bottlenecks and to readjust allocations accordingly. 56 See also Critical Path Method (CPM).

Project Management. The application of basic management concepts and principles of resource allocation to achieve stated objectives within specified time, cost, and performance specifications. 57


56 Hartley, Educational Planning-Programming-Budgeting, p. 256.

Queuing Theory. A way of approaching the problem of adjusting required services and facilities to the number of people "waiting in line" to be served. Time is always a crucial element. The ultimate goal is to find an economic balance between the cost of service and the cost of waiting. 58

Rate-of-Return Approach. A method by which educational costs and wages are used to estimate the rate of return in educational investments. This approach assumes that all educational investments be made in such a way that they are equally productive. 59

Relevance Tree. A normative forecasting technique which focuses on achieving desirable predetermined goals or avoiding undesirable ones by directing a sequence or hierarchy of events in pathways to the future. 60

Regression Analysis. A statistical tool for establishing parameters (measuring relationships) in simulation models. 61

Research, Development, and Diffusion Model. A type of model which focuses on the originator or developer of an

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58 Models for Planning, p. 5.


61 Banghart and Trull, Educational Planning, pp. 298-99.
innovation. Such a model proceeds through four phases: (1) researching to gain new knowledge, (2) generating solutions for the problem at hand and preparing the innovation for use in the field, (3) disseminating and demonstrating the innovation, and (4) adopting the innovation for institutional use. 62

Resource Requirements Prediction Model (RRPM). An instructional cost simulation model designed to calculate staff, space, and financial requirements of educational institutions over a period of several years and to predict future institutional costs for all educational services. 63

Scenario Forecasting. A technique for communicating or speculating upon possible futures by means of written descriptions or stories. The scenario usually includes detailed considerations of how current events and trends are likely to lead to particular future results. 64

Simulation. The study of systems through the use of analogous models. Simulations should contain sets of variables representing all the principle features of the actual systems under study. 65

Stiles and Robinson's Political Process Model. A five-step


65 Hostrop, Managing Education, p. 244; Banghart and Trull, Educational Planning, p. 294.
model describing the process by which external forces can influence internal change: (1) marshaling of forces calling for change, (2) dissemination of complaints and proposals through public protest and criticism, (3) recognition of need for change among those in position to effect change, (4) acceptance by educators of their responsibility for carrying out change, (5) implementation of change. 66

**Stochastic.** In statistics, a term signifying randomness or chance. A *stochastic variable* has numerical value as determined by the outcome of a chance experiment. 67

**Strayer-Haig Mort Model.** A formula for equalizing the matching of state funds to local funds for education. 68

**Summative Evaluation.** Evaluation procedures for measuring degrees of success based on final outcomes or results. 69

**Survey-Feedback-Problem Solving-Collective Decision Model (SF-PS-CD).** A seven-phase model for applying group processes to organizational change. The seven phases


are (1) collective evaluation, (2) stimulation, (3) internal diffusion, (4) legitimation, (5) adoption, (6) implementation, (7) routinization.  

System. "An organized assemblage of interrelated components designed to function as a whole to achieve a predetermined objective."  

System for Evaluating Alternative Resource Commitments in Higher Education (SEARCH). A generalized planning model used to analyze various resource commitments in institutions of higher education.  

Systems Analysis. The application of rational systematic procedures and techniques to problems encountered by a system or systems. Systems analysis usually "requires the determination of needs, goals, and objectives, and the development and analysis of alternatives including continuous evaluation and feedback."  

Systems Approach. A rational procedure for designing systems in order to attain specific objectives.  

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70 Zaltman, et al., Dynamic Educational Change, p. 60.  
71 Hostrop, Managing Education, p. 245.  
73 McGivney and Hedges, Introduction to PPBS, p. 134.  
74 Hostrop, Managing Education, p. 245.
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